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ABSTRACT

The Basic Educational Opportunity Grant Quality Control Study, Volume II focuses on study procedures used for the analytical report recorded in Volume I of the study. Copies of all data collection forms are included along with file layouts, field procedures and other general information letters. It is intended to provide a description of the sampling procedures that were followed in drawing the institutional and student/parent respondents; the preparation of the data forms, which include questionnaires, coding forms, and instructional letters: the pilot study; and the actual fielding of the study. The accompanying appendix, which is bound separately, contains: file format for institutional master file; procedures for selecting student sample from institutional records; summary report of pilot test; proposed tolerance levels; and field procedures documentation. Also provided are tables, figures, and exhibits that offer such information as ADS samples; flow diagram for preparation of sampling forms; flow chart of IRS activities; project summary sheet; parent coding form; status of school sample; disposition file update; BEOG validation form; and variability statistics. (LC)

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BEOG

Basic Educational Opportunity Grant Quality Control Study

VOLUME II

BASIC EDUCATIONAL OPPORTUNITY GRANT QUALITY CONTROL STUDY: METHODOLOGICAL REPORT

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For:

Office of Education
Division of Quality Assurance
Bureau of Student Financial Assistance

October 31, 1979

MAR 0 4 1980

INTRODUCTION

This volume contains a detailed discussion of study procedures. Copies of all data collection forms have been included as well as file layouts, field procedures and other general information letters. It is intended to provide the reader with a description of the sampling procedures that were followed in drawing the institutional and student/parent respondents; the preparation of the data forms which include questionnaires, coding forms, and instructional letters; the pilot study; and the actual fielding of the survey. There is an accompanying appendix which has copies of all field materials and memorandums.

This volume is not intended as an analytical report. That information is presented in Volume I.

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1. SAMPLING

1.1 Sample Design

1.1.1 The Interview Sample

a. Design Objectives

The objectives of the Quality Control Study have been identified as follows:

- Reliably document the programwide error rates of the 1978-79 BEOG student program determinations, including eligibility, benefit amount, and payments.
- Gain insight into the specific types of possible causes of significant programwide error rates in such determinations, if any.
- Gain insight into actions which can effectively reduce or eliminate errors, including design of ongoing quality control systems.

The Bureau of Student Financial Assistance also decided that only the 48 coterminous States and the District of Columbia were to be included in the study. Three survey populations were to be covered:

- Institutions that participate in the BEOG program.
- Grant recipients (students).
- Parents of student recipients, including parents of students with independent financial status.

The subuniverses of students (and institutions) of interest to the study were not all identified in advance. However, it was anticipated that there will be interest in the data when classified by:

- Control -- public, private, proprietary.
- Level -- less than two years, two years, four years or more.
- Size -- perhaps five classes of enrollments.
- Disbursement system -- regular or the alternate disbursement system.

The institutional sample had two components: 225 institutions chosen for personal interview and 225 institutions chosen independently to receive a mailed questionnaire similar in content to Part I of the institutional interview guide. Each sample of 225 contained 205 schools drawn to represent the regular distribution system (RDS) and 20 to represent the alternate distribution system (ADS). Ten schools were drawn in both samples of 225. Their Part I characteristics* were duplicated in the combined sample. Information for them, of course, was taken only from Part I of the interview guide and not from the mailed survey. This procedure was unbiased.

The sample of students (recipients) consisted of 2,309 grant recipients in the 210 participating schools that were interviewed in person. Fifteen of the 225 sampled schools were ineligible. The sample of parents was, of course, identified by the sample of students.

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*Part I of the Institutional Interview Guide.

The precision of the sample of students was estimated in advance of the survey. For design purposes we assumed that the variable of principal interest was the average absolute dollar value of errors ($\bar{x}$), and assumed further that such a value could be obtained for each interviewed student. This variable can be characterized by the model:

$$\bar{x} = P\bar{e}$$

where P = probability of making and error and $\bar{e}$ is the average of the absolute dollar value of the error, given that an error was made.

By sampling theory, the relvariance (square of the coefficient of variation) of $\bar{x}$ is:

$$V_{\bar{x}}^2 = \frac{V_e^2 + Q}{nP} F$$

where $Q = 1 - P$, V_e^2 is the unit relvariance of the amount of the error, in the observed sample n students, given that an error has been made, and F is a design effect. A priori we did not know the value of P, so some assumptions about its value had to be made. Also, we did not know V_e^2, or F.

A report to the Congress by the Comptroller General* indicated that, on the basis of a nonrandom sample of schools and 772 recipients, about 6.5 percent of recipients were ineligible due to noncompliance with the law and regulations, and another

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*"Office of Education's Basic Grant Program Can Be Improved," September 21, 1977.

4 percent were ineligible because of potential miscalculation. Although it was difficult to interpret the latter group, we assumed that the sum of the two groups (about 10 percent) was ineligible. Another 30 percent received awards without resolution of conflicting eligibility information. Thus, even though the information was scant, we assumed that 40 percent of awards contained some errors; i.e., in the above formulation $P = 0.4$. Note that the GAO report did not adequately account for intentional error; but, on the other hand, all of the awards made on the basis of conflicting data could not have been "in error." The extent to which these influences offset each other was unknown.

It was clear from the formula for the relvariance of the average errors, above, that the relvariance would have minimum value when $V_e^2 = 0$. This situation occured when the variable of interest was dichotomous, such as $x = 1$ if there was an error in the grant and $x = 0$ if there was no error in the grant. Under these circumstances, and estimating $P = 0.4$, if we employed simple random sampling the relvariance of a sample of 2,000 students* would produce a relvariance of

$$V_{\bar{x}}^2 = 0.6/0.4\ (2{,}000) = 0.00075$$

and the square root of this value, the coefficient of variation, (CV) would be 0.027. To meet the specifications of the RFP, the CV should be no greater than 0.025. In view of the imprecise estimate of P available at the time of the design, the sample size of 2,000 students appeared to be adequate provided that the loss in precision due to clustering students within schools was offset by gains due to stratification. At the time of the design, we did not know whether this was a reasonable assumption, but we had no other basis for decision. Because there may have been some losses (due to illness, out of country or other reasons) we planned to oversample by about 5 to 10 percent.

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*A rounded approximation to the number of expected completions at the time of the design.

The precision of an estimate of the dollar value of the error required an estimate of V_e^2 as well as of P in the formula

$$V_{\bar{x}}^2 = \frac{V_e^2 + Q}{nP} .$$

The GAO report led us to believe that about one-fourth of those with errors were ineligible; i.e., the total amount of the grant was the measure of the error, and that for three-fourths of those with errors, the amount of error was some fraction of the amount of the grant. In order to arrive at an estimate of V_e^2 we made the following assumptions:

- The proportion of students with improper grants (errors in the grant or the student is ineligible) is 40 percent.
- The average amount of grant to ineligible students is $750 (about three-fourths of the average grant to all students), and the standard deviation of grants to ineligible students is $300.
- Twenty-five percent of those with errors are ineligible.
- The average amount of error in the grants of those who are eligible, but have errors, is $150 with a standard deviation of $150.

Under these assumptions, one can estimate V_e^2 as follows:

Component	P	Avg. error $\bar{x}$	$p(\bar{x} - \bar{\bar{x}})^2$	σ_w	$p\sigma_w^2$
Ineligible	0.25	750	50,625	300	22,500
Eligible, but errors	0.75	150	16,875	150	16,875
Total	1.00	300	67,500		39,375

$$\bar{\bar{x}} = 0.25\ (750) + 0.75\ (150) = 300$$

$$\hat{\sigma}_e^2 = 67{,}500 + 39{,}375 = 106{,}875$$

$$V_e^2 = \frac{106{,}875}{300^2} = 1.2\ .$$

With these assumptions, the coefficient of variation of dollar value of error in a simple random sample of 2,000 students would be

$$V_{\bar{x}} = \sqrt{\frac{1.2 + 0.6}{2{,}000\ (0.4)}} = 0.047,$$

which was about double that required to meet the specifications in the RFP. Again, for simplicity, one might assume that gains due to stratification would be offset by losses due to clustering.

One way that greater precision could be achieved was to stratify students within sampled schools by size of grant. This procedure substantially reduced the value of V_e^2. For example, by stratifying students into five strata by size of grant, we estimated that we could reduce V_e^2 from 1.2 to 0.3. If so, the coefficient of variation would be reduced from 0.047 to

$$V_{\bar{x}} = \frac{0.3 + 0.6}{0.4\ (2,000)} = 0.034\ .$$

This would provide estimates within approximately 5 percent at roughly the 90 percent level of confidence. The potential gains appeared to be so great that this stratification was used, as described later.

b. Institutional Sample Frame

The sample frame used for selection of institutions was the Institutional Master File (IMF) maintained by the Bureau of Student Financial Assistance. This file is created each year from the institutions approved for participation, and data are added as the grant program is implemented and quarterly reports are received. Copies of both the 1978-79 file and the 1977-78 file were used, the 1978-79 file identifying the most up-to-date list of participating institutions, and the 1977-78 file identifying the number and value of grants awarded in the previous academic year. A copy of the file format is attached as Appendix A.

For sampling purposes, it was desirable to have a comprehensive listing of schools participating in the BEOG program and to have, for each of these schools, the number of grants given for the academic year 1978-79 at the time of the survey. This latter figure would have served ideally as a measure of size in drawing a sample of schools with probability proportional to size. It was believed that the participating schools were adequately identified by the 1978-79 IMF, as described above. However, no information was available at the time of the survey design on the number of grants given for the academic year 1978-79. It was believed that the number of grants given in 1977-78 would be a good proxy for the 1978-79 grants where such information was available on the 1977-78 IMF.

Several problems arose in using 1977-78 grants. First, the institutional sample for this survey had to be a sample of branch campuses in multi-campus institutions to avoid excess travel costs. However, the number of grants awarded in 1977-78 to a multi-campus institution was usually associated with the central campus and blanks were recorded for number of grants to the branch campuses. Therefore, it was necessary to allocate the total number of grants among the central institution and its branches.

If enrollments for the main campus and the branches were available, either from the IMF or other files, these enrollment data were used to allocate the total number of grants to the branches. If enrollment data were not available, the number of grants was distributed under the assumption that the main campus had three times the number of grants of any branch and that all branches had equal numbers of grants. Occasionally, the quarterly report was submitted by an administrative office rather than a main campus. When this situation could be determined, the entire number of grants was allocated to the branches and the record for the administrative office was eliminated from the file.

Some schools remained for which the number of grants had not been assigned by the above procedures. Estimated numbers of grants were assigned by the following manual procedures:

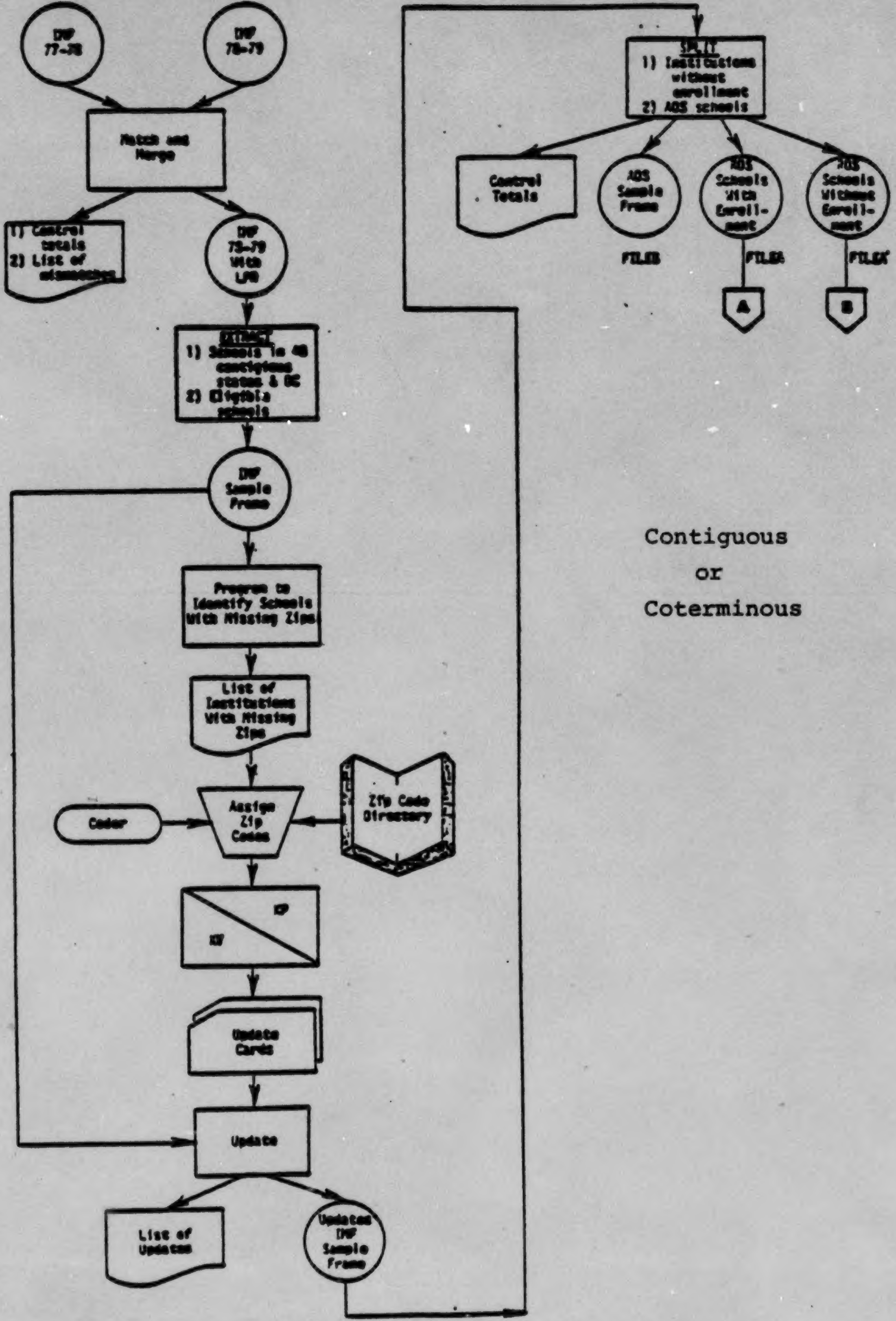
- If enrollment was available, the average number of grants per enrollment for the given class of school (control and type) was used to impute number of grants.
- If enrollment was not available, the average enrollment for the given class of school (by

control and type) was used as the basis for imputing number of grants, as above.

The following manipulations were used to prepare the 1978-79 Institution Master File for sample selection:

1. The latest progress report (LPR) information was taken from the 1977-78 file and put on the 1978-79 file after merging, using BEOG identification codes.
2. Three schools that were in the 1977-78 file, but not on the 1978-79 file, were excluded.
3. Control records and trailer records were excluded.
4. Eight schools in the 1978-79 file but not in the 1977-78 file were included.
5. Ineligible schools (1978-79) were excluded.
6. Schools in Alaska, Hawaii, Puerto Rico, and outlying areas were excluded.
7. Enrollments and number of grants for about two-thirds of the schools were on the Institution Universe File. The file was merged with other files by OE vendor code to obtain enrollment data available elsewhere. Such files included the Postsecondary File, the HEGIS XII file, and special files created for a survey of vocational schools. There were still several hundred schools without enrollments or numbers of grants, however.
8. Estimated numbers of grants for schools having no number of grants on the 1977-78 IMF were assigned as described above.

The above steps completed the preparation of the data file, as shown in Figure 1-1.



Contiguous
or
Coterminous

Figure 1-1. Flow diagram for preparation of sampling frame

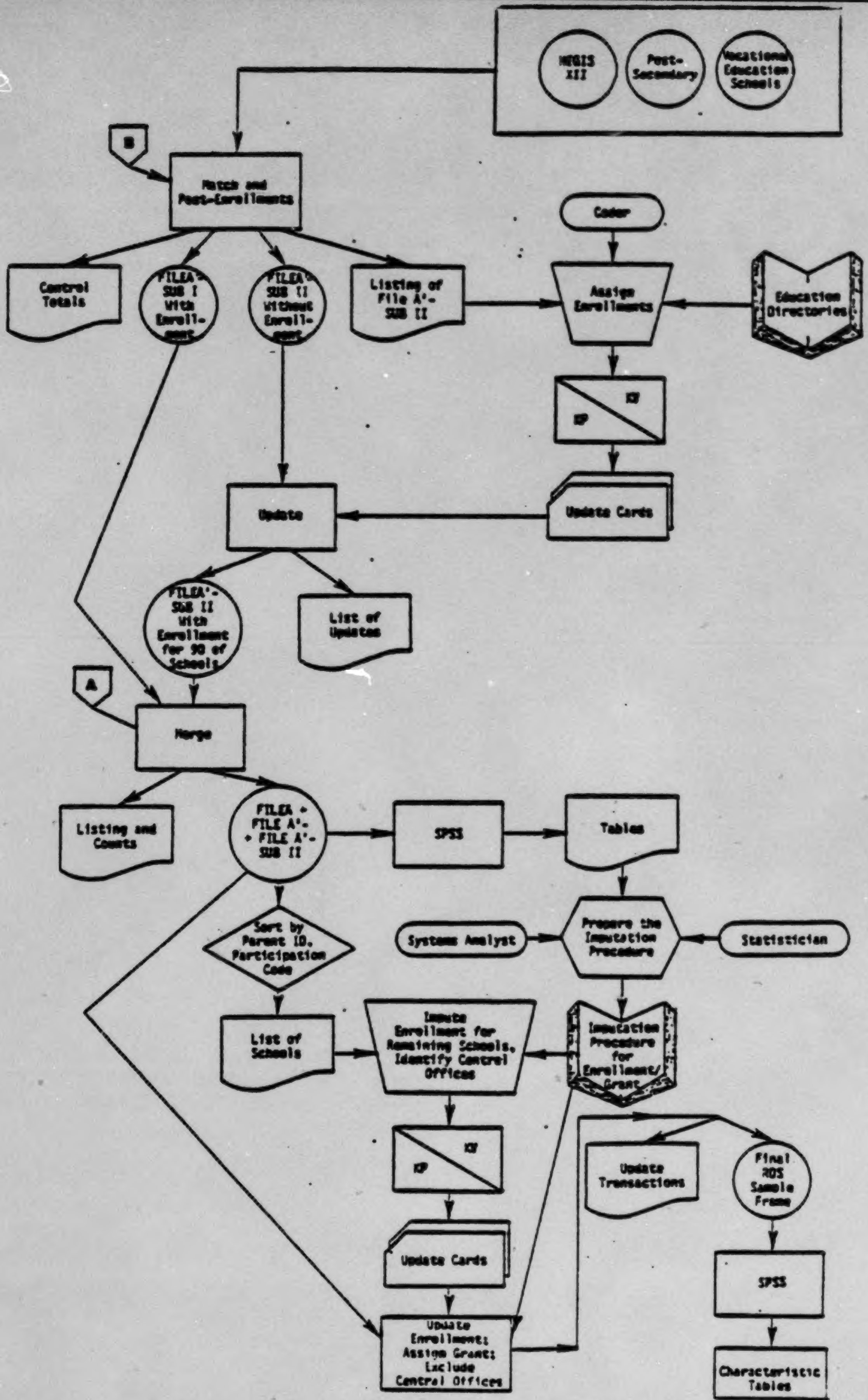

HEGIS XII
Post-Secondary
Vocational Education Schools
B
Match and Post-Enrollments
Coder
Control Totals
FILEA'-SUB I With Enrollment
FILEA'-SUB II Without Enrollment
Listing of File A'-SUB II
Assign Enrollments
Education Directories
KP
KV
Update Cards
Update
FILEA'-SUB II With Enrollment for 90 of Schools
List of Updates
A
Merge
Listing and Counts
FILEA + FILE A'- + FILE A'-SUB II
SPSS
Tables
Systems Analyst
Prepare the Imputation Procedure
Statistician
Sort by Parent ID, Participation Code
List of Schools
Impute Enrollment for Remaining Schools, Identify Central Offices
Imputation Procedure for Enrollment/Grant
KP
KV
Update Cards
Update Transactions
Final RDS Sample Frame
SPSS
Update Enrollment; Assign Grant; Exclude Central Offices
Characteristic Tables

Figure 1-1. Flow diagram for preparation of sampling frame (Continued)

c. Stratification and First-Stage Selection of RDS Institutions

The sample provided statistics for institutions and grant recipients. If it had not been for the requirement to produce institutional data, a self-weighting sample of grant recipients would have been operationally efficient. It would have had the effect of giving every grant recipient, within a specified class, equal probability of selection and would have equalized workloads in the field. However, a large percent of the grants were given to students in a relatively small percent of schools. As a result, a self-weighting sample of grant recipients would have produced so few small proprietary institutions that generalizations about them would have been subject to intolerable sampling error.

On the other hand, an equal-probability sample of institutions would have produced a highly inefficient sample of students. Thus, some compromise was clearly in order. The plan outlined in the steps below contains a compromise that provides reasonable precision for both institution and student data but is not optimum for either set of data.

As a preliminary step, the schools that were identified as "eligible" on the IMF but which were coded as "nonparticipating" were extracted from the file and set aside for separate handling (see Section 1.6). This set of schools is approximately equivalent to the list of ADS schools, although there are some important exceptions. Then, the following steps were taken on the remaining file of predominantly RDS institutions.

Step 1. Large institutions were identified and selected with certainty.

The total number of grants of all schools on the IMF sample frame was obtained. This number then was divided by 1.5n, where n was the number of schools to be sampled. Seven* schools had more grants than the quotient; they were sampled with certainty. These schools, then, were eliminated from the file before further processing.

Step 2. The schools in the 25 largest Standard Metropolitan Statistical Areas (SMSA's) were identified for separate treatment.

The 25 largest SMSA's were included in the sample of areas with certainty. This did not mean that all of the schools in them were sampled, only that the geographic areas covered by them were in the sample. The boundaries of the 25 largest SMSA's were defined in terms of the three-digit ZIP Codes associated with the counties which made up the SMSA's.

Step 3. The remaining institutions outside the largest SMSA's were identified.

All of the remaining institutions (i.e., those with three-digit ZIP Codes which differed from those in the largest SMSA's) were identified and Westat's geographically-ordered, three-digit ZIP-Recode file was then used to assign the ZIP-Recode values so that adjacent recoded ZIP Codes were geographically adjacent.

Two "cumulative" measures** were produced for the clusters of schools in their corresponding ZIP-recode categories, as follows:

- If the sum of measures of size of all the schools in a particular ZIP-recode category was less than 1,000, it was added to the first cumulative-measure column; otherwise
- It was added to the second cumulative - measure column.

---

*The International Correspondence Schools were selected with certainty. However, since correspondence schools were out-of-scope for this study, it was assigned an out-of-scope code but kept in the file.

**The "cumulative measure" is the cumulation of the previous column.

Entries in the second cumulative column were then considered to be possible candidates for individual PSU's and entries in the first cumulative column were aggregated to form PSU's.

Using a map which showed three-digit ZIP Codes and the Westat geographic ZIP-recodes, the listing was subdivided manually into PSU's, in an effort to achieve a reasonable compromise among the following objectives in each of the ZIP-recode categories:

- Each PSU should be small enough so that it could reasonably be covered by a single interviewer without overnight travel (approximately 250 miles).
- Each PSU should be heterogeneous enough to cover as many classes of schools as feasible.
- All of the PSU's should exceed a minimum size measure which was determined after some experimentation.

The PSU's were selected as follows:

- Lines were drawn around aggregates of ZIP-recodes to identify the boundaries of the PSU's in the listing.
- Lines were drawn across the printout to identify boundaries of 20 strata in the listing. Eight of these were small-school strata and 12 were large-school strata.
- PSU numbers were assigned within each stratum throughout the listing.
- Each school was assigned the appropriate stratum and PSU number.

Step 4. Basic statistics were tabulated.

In order to provide the basis for the next steps in selecting the institutions, it was necessary to prepare Tables 1-1 and 1-2 (shown on the following pages). The first table provided data for the 25 largest SMSA's. The second had the identical stubs and column headings, but provided data for all schools except those in the 25 largest SMSA's.

Table 1-1. Number of institutions and grants by control, number of grants* and length of program on 25 certainty PSU's

Control and size class (grants)	Universities and four-year colleges		Two-year colleges		All other institutions		Total	
	Number of schools	Number of grants	Number of schools	Number of grants	Number of schools	Number of grants	Number of schools	Number of grants
Public								
0-99	9	489	22	947	4	182	35	1,618
100-499	13	3,510	56	14,671	7	1,329	76	19,510
500-1,499	25	22,802	52	45,500	3	2,248	80	70,450
1,500-4,999	30	82,407	38	102,822	2	3,362	70	188,591
Over 5,000	1	5,153	5	29,675	0	0	6	34,828
Total	78	114,361	173	193,515	16	7,121	267	314,997
Private								
0-99	132	6,529	101	3,641	19	617	252	10,517
100-499	156	33,366	23	4,727	2	613	181	38,706
500-1,499	52	41,138	5	3,660	0	0	57	44,798
1,500-4,999	6	13,557	1	4,562	0	0	7	18,119
Over 5,000	0	0	0	0	0	0	0	0
Total	346	94,320	130	16,590	21	1,230	497	112,140
Proprietary								
0-99	17	893	71	3,396	377	15,900	465	20,189
100-499	4	1,029	62	12,091	101	21,938	167	35,058
500-1,499	4	2,924	12	8,729	12	9,018	28	20,671
1,500-4,999	0	0	1	1,537	1	2,189	2	3,726
Over 5,000	0	0	0	0	0	0	0	0
Total	25	4,846	146	25,753	491	49,045	662	79,644
Total								
0-99	158	7,641	194	7,984	400	16,699	752	32,324
100-499	173	37,905	141	31,489	110	23,880	424	93,274
500-1,499	81	66,864	69	57,789	15	11,266	165	135,919
1,500-4,999	36	95,964	40	108,921	3	5,551	79	210,436
Over 5,000	1	5,153	5	29,675	0	0	6	34,828
Total	449	213,527	449	235,858	528	57,396	1,426	506,781

*Where the number of grants was less than 25, "25" was substituted.

Table 1-2. Number of institutions and grants by control, number of grants* and length of program on noncertainty PSU's

Control and size class (grants)	Universities and four-year colleges		Two-year colleges		All other institutions		Total	
	Number of schools	Number of grants	Number of schools	Number of grants	Number of schools	Number of grants	Number of schools	Number of grants
Public								
0-99	38	2,421	118	7,225	53	2,970	209	12,616
100-499	92	27,793	459	123,115	76	16,514	627	167,422
500-1,499	192	182,616	181	142,726	8	6,624	381	331,966
1,500-4,999	139	332,256	46	93,714	2	5,572	187	431,542
Over 5,000	3	17,033	3	17,205	0	0	6	34,238
Total	464	562,119	807	383,985	139	31,680	1,410	977,784
Private								
0-99	203	11,255	199	7,867	35	1,222	437	20,344
100-499	489	108,912	71	13,302	2	261	562	122,475
500-1,499	83	60,895	4	2,230	2	1,583	89	64,708
1,500-4,999	6	10,617	0	0	0	0	6	10,617
Over 5,000	0	0	0	0	0	0	0	0
Total	781	191,679	274	23,399	39	3,066	1,094	218,144
Proprietary								
0-99	30	1,301	163	7,398	898	33,879	1,091	42,587
100-499	11	2,290	112	22,313	164	32,677	287	57,280
500-1,499	2	1,550	6	4,367	8	5,126	16	11,043
1,500-4,999	0	0	1	1,792	0	0	1	1,792
Over 5,000	0	0	0	0	0	0	0	0
Total	43	224,379	282	35,870	1,070	71,682	1,396	112,702
Total								
0-99	271	14,977	480	22,490	986	38,071	1,737	75,538
100-499	592	138,995	642	158,730	242	49,452	1,476	347,177
500-1,499	277	245,061	191	149,323	18	13,333	486	407,717
1,500-4,999	145	342,873	47	95,506	2	5,572	194	443,951
Over 5,000	3	17,033	3	17,205	0	0	6	34,238
Total	1,288	758,939	1,363	443,254	1,248	106,428	3,899	1,308,621

*Where the number of grants was less than 25, "25" was substituted.

Step 5. The sample was allocated between the 25 certainty PSU's and the remainder of the U.S.

After examining the tables prepared in Step 4, a decision was made concerning the appropriate allocation of the sample.* Since the number of grants was strongly dominated by large metropolitan schools, different allocations were examined. This analysis led to a decision to allocate sample schools proportional to the sums of the 0.8 roots of measures of size (approximately total grants). This procedure provided an expected number of 55 schools in the 25 certainty PSU's and 143 schools in the noncertainty PSU's.

Step 6. The sample of institutions was allocated and drawn within the 25 certainty PSU's.

Table 1-1 provided 45 cells of data for both number of schools and sums of the measures of size, although some of the cells were empty. Some collapsing of type, control, and size classes was done to obtain six substrata. A decision then was made concerning the allocation and adjustment of the sample to these substrata in order to adequately represent both institutions and students.

For purposes of describing the collapsing of cells to form substrata, the size classes given in Table 1-1 were coded from 1 to 6. The six substrata, with their corresponding numbers of schools, total estimated grants, measures of size (0.8 root of estimated number of grants) and allocated sample sizes are shown in Table 1-3.

In computing measures of size for each school within each substratum, all numbers of grants below the cutoff value of 25 were replaced by the cutoff value. The total number of grants after the above adjustment was divided by 1.5 times the allocated sample size. No institution had more than that number of grants; therefore, there were no conditional certainty institutions within the certainty PSU's.

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*Note that seven schools were drawn with certainty in Step 1; thus, only the remaining schools were allocated.

Table 1-3. Substrata, total schools, total estimated grants, measures of size and allocated sample sizes for the 25 largest SMSA's

Substratum number	Description	Number of schools	Total grants (000)	Measure of size	Allocated sample
1	Public, 4-year, size 4	30	82.4	16.8	6
2	Public, 2-year, size 4	38	102.8	21.0	6
3	Private, sizes 1, 2, 3	490	94.0	29.2	14
4	Proprietary, sizes 1, 2	632	55.3	20.3	10
5	Sizes 1, 2, 3, not selected above	219	112.3	30.4	14
6	Sizes 4, 5, not selected above	17	60.0	11.5	5
Total		1,426	506.8	129.2	55

The sample of institutions then was allocated to each substratum with probability proportional to the sums of the measures of size with some adjustments. Table 1-3 shows the allocation.

Step 7. A sample of schools was drawn from the PSU's selected outside of the 25 largest SMSA's.

A summary listing of the universe of schools outside the 24 largest SMSA's was produced, as shown in Table 1-2.

The tabulation shown in Table 1-2 was redone using "measure of size" rather than number of recipients (grants).

The "measure of size" was set equal to the number of grants to the power of 0.8. If the number of recipients was less than a minimum value (25 recipients) it was set equal to this cutoff value.

Two PSU's were selected from each stratum with probability proportional to the measure of size of the PSU.

Cells of the table were then collapsed to form 10 substrata, as shown in Table 1-4. The following codes identify the collapsed cells in the 10 substrata:

Control: 1 = Public
2 = Private
3 = Proprietary

Type of School:

1 = University and other four-year
2 = Two-year
3 = All other

Size (number of grants)

1 = Under 100
2 = 100 through 499
3 = 500 through 1,499
4 = 1,500 through 4,999
5 = 5,000 and over

Table 1-4. Substrata, total schools, total estimated grants, measures of size and allocated sample sizes for the universe outside the 25 largest SMSA's

Stratum number	Description			Number of schools	Total grants (000)	Measure of size (000)	Allocated sample		
	Control	Type	Size				Cer-tain-ties	Proba-bility selec-tion	Total
1	1	3	2	459	123.1	57.5	0	11	11
2	1	3	3	181	142.7	28.8	0	10	10
3	1	1,2	3	192	182.6	43.7	0	12	12
4	1	1,2	4	139	332.3	83.6	9	11	20
5	2	1,2	2	489	108.9	41.1	2	20	22
6	2	All	3	89	64.7	18.9	0	10	10
7	3	All	1	1,091	42.6	17.7	0	14	14
8	3	All	2	287	57.3	19.7	0	14	14
9	Remainder		1,2	887	90.8	33.7	2	14	16
10	Remainder		3,4	85	163.6	26.0	11	3	14
	Total			3,899	1,308.6	350.9	24	119	143

Schools in the selected PSU's were extracted and a working file was created, giving each school the probability of selection of the PSU containing it, P_{hi}. Where

$$P_{hi} = \frac{2\sum_{j} S'_{hij}}{\sum\sum_{ij} S'_{hij}}$$

$\sum_{j} S'_{hij}$ = total of the measures of size in PSU i in substratum h, and

$\sum\sum_{ij} S'_{hij}$ = total of the measures of size in substratum h.

Step 8. The sample of schools was drawn from the universe outside the largest SMSA's.

The number of sample schools per substratum was assigned approximately proportional to the sum of measures of size in each substratum with some adjustments designed to assure an adequate number of schools in the small-school substrata. The measures of size were adjusted for each school by the probability of selection of the PSU within the stratum. Thus, a measure of size for a given school was

$$S''_{hij} = \frac{S'_{hij}}{P_{hi}}$$

The total measure of size for each substratum was divided by 1.5 times the allocated sample size, and conditional certainty schools were identified within each substratum. The remaining sample of schools within the substratum was selected with probability proportional to the adjusted measures of size, S''_{hij}, above, after elimination of the certainty schools. Table 1-4 illustrates the sample allocation to each substratum and the number of conditional certainty schools allocated to each.

d. Allocation of Student Sample to RDS Institutions

A sample of approximately 2,200 grantees was desired, or about one out of 909 students based on the presumption that there were 2 million grantees altogether. Therefore, the sampling fraction which was applied to certainty schools was 1/909, or f = 0.0011. That is, a university with 12,000 grants would produce a sample of 13 students. The estimated yield from the certainty schools was subtracted from the target of 2,200 students, and the remainder was allocated between the 25 largest SMSA's and the remainder of the United States and then, within those subuniverses, to the substrata. The allocation was made so that the workloads at the selected schools were expected to be of reasonable size and the overall estimate of student characteristics would not be seriously affected by the clustering effect.

Next, the within-school sampling fractions were determined. Note that the determination of sampling fractions, rather than exact sample sizes, produced some variability in the total sample size. The procedure outlined below produced approximately equal probability of selection within the substrata, however. It also provided reasonably good control on workloads since schools were stratified by number of grants.

The within-school sampling fractions were determined as follows:

- For the certainty institutions:

  $F = 0.0011$

- For substratum h within certainty PSU's:

$$f'_{hij} = \frac{f \sum_{i}^{25} \sum_{j}^{M_{hi}} S'_{hij}}{n_h S'_{hij}}$$

f = overall sampling fraction, i.e., 0.0011

S'_{hij} = measure of size for the j^{th} school in the i^{th} PSU stratum h (h = 1, 2, ..., 6) in the certainty subuniverse.

n_h = number of sampled institutions in substratum h.

M_{hi} = number of schools in the i^{th} certainty PSU in the h^{th} stratum. Note that there were no conditional certainty schools in the 25 certainty PSU's.

- For substratum h within noncertainty PSU's:

(1) For institution j selected with conditional certainty within the i^{th} sampled PSU in stratum h:

$$f'_{hij} = \frac{f}{P_{hi}}$$

(2) For institutions not selected with conditional certainty within h for h = 1, ..., 10:

$$f'_{hij} = \frac{f\ T_h(\text{ad'j})}{P_{hi}\ n'_h\ S''_{hij}}$$

where

$S''_{hij} = S'_{hij}/P_{hi}$, where S'_{hij} is the measure of size for the j^{th} school in the i^{th} PSU of stratum h.

$$T_h\ (\text{adjusted}) = \sum_{i}^{K_h} \sum_{j}^{M'_{hi}} \left[S'_{hij}/P_{hi} \right],$$

where

K_h = number of PSU's sampled in the h^{th} stratum, h = 1, 2, ..., 10,

M'_{hi} = number of noncertainty schools in the i^{th} PSU of stratum h,

n'_h = number of sampled institutions in substratum h excluding the conditional certainty schools.

Then adjusting factors were computed as follows:

- For each substratum h, the sum over sample schools was:

  $$S'_h = \Sigma f'_{hij} S_{hij}$$

  for h = 1, ..., 6 for certainty PSU's and
  h = 1, ..., 10 for noncertainty PSU's,
  excluding the certainty schools.

- For each substratum h, the sum over the schools in the subuniverses of both certainty and noncertainty PSU's was summarized as:

  $$S_h = F\Sigma S_{hij},$$

  excluding the certainty schools.

- Using the parameters computed above, the adjusted within-school sampling fraction, the sampling interval, and expected number of recipients to be sampled in each institution were computed as follows:

  - For the certainty institutions:

    Within-school sampling fraction =

    $$f_{hij} = f'_{hij} = f = 0.0011$$

    Sampling interval = $Z_{hij} = f_{hij}^{-1} = 909$

    Expected number of recipients =

    $$n_{hij} = S_{hij} f_{hij} = 0.0011\ S_{hij}$$

  - For all other institutions:

    Within-school sampling fraction =

    $$f_{hij} = f'_{hij}\ S_h / S'_h$$

    Sampling interval = $Z_{hij} = f_{hij}^{-1}$

Expected number of recipients =

$$n_{hij} = s_{hij} f_{hij}.$$

e. Selection of Students within RDS Institutions

As described in Section 1.4, the sample of students within a selected school was specified as a sampling fraction, such as 1 out of 909, 1 out of 250, 1 out of 47, etc., depending upon the results of computations in Section 1.4. However, after receiving rosters from several schools it was determined that the number of recipients on the rosters was less than that reported on the file, sometimes as much as 40 percent.* Therefore, in order to reach the final target number of recipients in the sample, the sampling fractions were increased by an average of about 50 percent. Data from a computer were used to adjust the sampling fractions, depending upon how many recipients were expected for the schools, and how many recipients were actually reported on the rosters supplied to Westat by the sampled schools.

The subsampling from the institutions was accomplished by the following procedures.

- If it was feasible to do so, because the number of recipients on the rosters was reasonably small, i.e., about 250 or less, the following steps were taken to draw the sample of recipients.

  Step 1. The information on the rosters was keypunched and key-verified.

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*Some schools reported that since the processing dates were different from the time we were sampling the school, they would ultimately have all the recipients on the file by the end of the year.

Step 2. A listing was generated and scan-edited to detect if there were any keypunch errors. If so, the cards were corrected and double-checked.

Step 3. The entire list was sorted by size of grant* and a listing was generated in that order.

Step 4. The adjusted number of recipients expected in the final sample, n_{hij} and the sampling interval, Z_{hij} were determined from the computer-generated sampling log, shown in Exhibit 1-1. A random number, R_{hij} was also determined from a random-number table where $1 \le R_{hij} \le Z_{hij}$.

Step 5. The number of recipients to be selected (n_{hij}), the sampling interval (Z_{hij}), and the random starting number (R_{hij}) were then recorded on the sampling worksheet (Exhibit 2-8, page 2-21) and input to a programmable calculator which was used to generate a listing showing the starting number from the list and every Z^{th} one thereafter.

Step 6. The selected recipients were then identified on the list and the entire process was documented along with the sampling clerk's initials and turned over to the sampling supervisor for double-checking and verification.

- In other cases, i.e., where the number of recipients on the rosters was large, a sampling worksheet as shown in Exhibit 2-7, page 2-20, was used, and the sample was taken in two stages, as follows:

Stage 1. The preliminary sample was selected by multiplying the sampling fraction by 10, and drawing systematically

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*As a proxy, the Eligibility Index was used.

Exhibit 1-1. Computer generated sampling log

```
BEOG STUDY                                                                                                      PAGE:   1

                               AD M  ESTIM.  ACTUAL                                                EST ACT ADJ  AL-  SEQ   ST
OECODE        NAME        T C S IN F NRECIP  NRECIP   NOS  PHI  NK  CC    P        PP        S     SMP SMP SMP  PHA  INST  ABR  RG

013988 ASSOCIATED TECHNICAL 2 3 2       348     241   108  100  10  0  0.02204 0.02069   45      8   5   7        001   CA   1
011121 BRYMAN SCHOOL, THE-S 2 3 2       178      61   198   32  14  0  0.02662 0.02552   38      5   2   5        002   CA   1
001124 CABRILLO COLLEGE     3 1 3      1173     518   890   32  10  0  0.01445 0.01114   69     17   8  10        003   CA   1
001140 CALIF STATE UNIV-LOS 1 1 4      4011    2300   763  100   6  0  0.00395 0.00403  253     16  16  16        004   CA   1
006973 CANADA COLLEGE       3 1 2       221     139    75  100  14  0  0.03308 0.03188   30      7   5   8        005   CA   1
001167 CITY COLLEGE OF SAN  3 1 4      3938    1898   752  100   6  0  0.00502 0.00512  199     20  10  15        006   CA   1
001178 COLLEGE OF MARIN     3 1 3       604     278   168  100  14  0  0.01477 0.01423   68      9   5   8        007   CA   1
001213 IMMACULATE HEART COL 2 2 2       151     129    55  100  14  0  0.04211 0.04169   24      6   5   8        008   CA   1
012522 LA PUENTE VALLEY VOC 3 3 3       585     213   164  100  14  0  0.01513 0.01458   66      9   3   6        009   CA   1
001223 LOS ANGELES CITY COL 3 1 4      2940    1576   752  100   6  0  0.00502 0.00512  199     20   8  18        010   CA   1
001260 PALOMAR COMMUNITY CO 3 1 3       997     402   545   46  10  0  0.01641 0.01265   61     16   7  11        011   CA   1
007478 SAN DIEGO EVENING CO 3 1 4      1635    1635   808   46   3  0  0.00643 0.00478  156     11  11  11        012   CA   1
001294 SOUTHWESTERN COLLEGE 3 1 4      1665     942   821   46   3  0  0.00633 0.00471  158     11   6   9        013   CA   1
013572 UNIVERSAL BEAUTY ACA 5 3 1        30      15    15  100  10  0  0.15863 0.14894   06      5   3   5        014   CA   1
001312 UNIVERSITY OF CALIFO 1 1 4      3345    3142   660  100   6  0  0.00456 0.00466  219     15  15  22        015   CA   1
001317 UNIVERSITY OF CALIFO 1 1 4      1682    1449   828   46  11  0  0.00993 0.01218  101     17  14  21        016   CA   1
013080 WILLOW GLEN BEAUTY C 5 3 1        30      12    46   32  14  0  0.09933 0.09468   10      3   1   5        017   CA   1
001345 ADAMS STATE COLLEGE  2 1 3       797     556  3483    6  12  0  0.02024 0.01917   49     16  11  17        018   CO   1
007562 AIMS COLLEGE         3 1 2       467     292  1245   11  11  0  0.02890 0.02735   35     13   8  18        019   CO   1
001350 COLORADO STATE UNIVE 1 1 4      1802    1665  3654   11   0  1  0.00821 0.01000  122     15  14  21        020   CO   1
010732 SAN JUAN BASIN AREA  3 1 1        95      69   633    6  14  0  0.05298 0.05339   19     -5   4   5        021   CO   1
001349 UNIVERSITY OF NORTHE 1 1 4      1533    1365  3218   11   0  1  0.00821 0.01000  122     13  11  17        022   CO   1
001372 WESTERN STATE COLLEG 2 1 2       410     336  2050    6   0  1  0.01819 0.01833   55      8   6   9        023   CO   1
001500 BROWARD COMMUNITY CO 3 1 4      1841    1014  5112    8   0  1  0.01049 0.01375   58     34  19  25        024   FL   3
001471 CENTRAL FLORIDA COMM 3 1 3       737     460   703   28  10  0  0.02091 0.01612   48     15  10  15        025   FL   3
```

Exhibit 1-1. Computer generated sampling log (continued)

SEOG STUDY PAGE: 2

DECODE	NAME	T	C	S	AD IN	M F	ESTIM. NRFCIP	ACTUAL NRECIP	NOS	PHI	NX	CC	F	FF	Z	EST SMP	ACT SMP	ADJ SMP	AL-PHA	SEQ INST	ST ABR	SI
001487	ECKERD COLLEGE	2	2	2			171	241	217	28	20	0	0.02995	0.03311	33	5	7	7		026	FL	3
000146	FT LAUDERDALE CLG BU	2	2	2			111	124	537	8	20	0	0.04235	0.04602	24	5	5	8		027	FL	3
001509	NOVA UNIVERSITY	1	3	2			146	95	675	8	14	0	0.02998	0.02074	33	4	3	5		028	FL	3
001519	SANTA FE COMMUNITY C	3	1	4			1753	912	1407	28	0	1	0.00528	0.00393	189	9	5	8		029	FL	3
012165	ATLANTA JUNIOR COLLE	3	1	3			896	459	460	50	10	0	0.01789	0.01379	56	16	8	12		030	GA	3
001559	CLARK COLLEGE	2	2	3			1295	901	618	50	10	0	0.00617	0.00673	162	8	6	9		031	GA	3
001562	DEKALB COMMUNITY COL	3	1	4			1669	750	756	50	3	0	0.00632	0.00470	158	11	5	8		032	GA	3
001569	GEORGIA INST OF TECH	1	1	3			737	752	394	50	12	0	0.02140	0.02034	47	16	16	24		033	GA	3
004023	PICKENS AREA VOC TEC	4	1	9	1			0		50		0					0	0		034	GA	3
005613	UPSON CTY AREA VOC T	3	1	9	1		31	31		50		0				10	10	10		035	GA	3
010318	LINCOLN TECHNICAL IN	4	3	1			87	43	180	20	14	0	0.04061	0.03871	25	4	2	5		036	IA	2
006264	MARSHALLTWN CMTY HOS	3	2	1			10	15	65	20	14	0	0.15479	0.15598	06	4	~~3~~ 4	~~3~~ 4		037	IA	2
001887	SIMPSON COLLEGE	2	2	2			209	208	360	20	20	0	0.02527	0.02794	40	5	5	7		038	IA	2
001641	BRADLEY UNIVERSITY	1	2	3			695	644	1446	13	10	0	0.01013	0.01106	99	7	7	11		039	IL	4
001644	CENTRAL YMCA COMMUNI	3	2	4			4562	2804	846	100	5	0	0.00290	0.00298	345	13	8	12		040	IL	4
008938	GRAHAM HOSPITAL SCH	3	2	1			22	14	100	13	14	0	0.15479	0.15598	06	4	3	5		041	IL	4
001692	ILLINOIS STATE UNIVE	1	1	4			2965	2533	4607	13	0	1	0.00694	0.00846	144	21	18	27		042	IL	4
001696	ILLINOIS WESLEYAN UN	1	2	2			207	198	546	13	20	0	0.02563	0.02834	39	5	5	8		043	IL	4
001707	LEWIS UNIVERSITY	1	2	3			501	321	145	100	14	0	0.01597	0.01581	63	8	5	8		044	IL	4
004564	LOYOLA UNIVERSITY -	1	2	2			413	656	124	100	14	0	0.01867	0.01849	54	8	12	18		045	IL	4
001650	MALCOLM X COLLEGE	3	1	4			2059	1848	448	100	6	0	0.00841	0.00859	119	17	16	24		046	IL	4
004568	MIDSTATE COLLEGE	3	3	1			49	28	169	13	14	0	0.06656	0.06344	15	3	2	5		047	IL	4
010836	PIVOT POINT BEAUTY S	5	3	2			183	96	65	100	10	0	0.03661	0.03437	27	7	3	5		048	IL	4
013550	RAVENSWOOD HSP MED S	2	1	9	1			0		0		0					0	0		049	IL	4
010575	SAWYER SCHOOLS,INC	5	3	1			42	0	20	100	10	0	0.11898	0.11171	08	5	0	0		050	IL	4

Exhibit 1-1. Computer generated sampling log (continued)

BEOG STUDY PAGE: 3

OECODE	NAME	T	C	S	AD IN	M F	ESTIM. NRECIP	ACTUAL NRECIP	MOS	PHI	NK	CC	F	FP	Z	EST SMP	ACT SMP	ADJ SMP	AL-PHA	SEQ INST	ST ABR	SI
008244	JOHNSON COUNTY COMMU	3	1	2			348	157	108	100	14	0	0.02297	0.02214	44	8	4	7		051	KS	2
010625	BOWLING GREEN BUSINE	3	3	2			146	70	600	9	14	0	0.02998	0.02074	33	4	3	5		052	KY	5
012150	HAGER BEAUTY ACADEMY	4	3	1			68	14	82	35	14	0	0.05094	0.04856	20	3	1	5		053	KY	5
009707	LEXINGTON TECH INST	1	1	2			303	193	334	35	14	0	0.01722	0.01735	58	7	3	5		054	KY	5
001972	LINDSEY WILSON COLLE	3	2	2			147	101	600	9	14	0	0.03726	0.03755	27	5	4	5		055	KY	5
001989	UNIVERSITY OF KENTUC	1	1	6			3762	3762	2071	35	11	0	0.00522	0.00636	192	20	11 20	15 20		056	KY	5
002002	WESTERN KENTUCKY UNI	1	1	4			2390	2021	5600	9	0	1	0.01003	0.01222	100	24	20	30		057	KY	5
002017	MCNEESE STATE UNIVER	1	1	3			1181	709	1913	15	12	0	0.01474	0.01396	68	17	10	15		058	LA	3
005467	SOWELA TECHNICAL INS	3	1	9	1		61	61		15		0				20	20	20		059	LA	3
005203	SPENCER BUSINESS COL	5	3	2			100	57	266	15	14	0	0.04057	0.03889	25	4	2	5		060	LA	3
010637	ST PATRICK HSP SCHOO	3	2	9	1			0		15		0					0	0		061	LA	3
002031	UNIVERSITY SOUTHWEST	1	1	4			2086	1978	3906	15	0	1	0.00682	0.00733	166	17	12	18		062	LA	3
003965	BAY STATE JR COLLEGE	3	2	3			616	415	170	100	14	0	0.01362	0.01349	73	8	6	9		063	MA	6
002133	BRANDEIS UNIVERSITY	1	2	2			290	238	93	100	14	0	0.02491	0.02466	40	7	6	6 8		064	MA	6
011157	ESSEX AGRICULTURAL T	3	1	1			81	67	34	100	14	0	0.07296	0.07032	14	6	6	6		065	MA	6
009676	M. FAZIO INST OF BEA	5	3	9	1			16		0		0				5	5	5		066	MA	6
014175	MA GENL' HSP HESP TH	5	3	1			5	4	13	100	10	0	0.18303	0.17185	05	5	4	4		067	MA	6
002161	UNIVERSITY OF LOWELL	2	1	3			920	892	235	100	14	0	0.01055	0.01017	95	10	9	10		068	MA	6
002061	COMMUNITY COLLEGE OF	3	1	5			5614	1110	999	100	5	0	0.00245	0.00252	408	14	3	5		069	MD	5
002068	COPPIN STATE COLLEGE	2	1	4			2630	1069	544	100	6	0	0.00553	0.00565	181	15	6	9		070	MD	5
002089	PRINCE GEORGES CMTY	3	1	3			1353	884	320	100	14	0	0.00775	0.00747	129	11	7	11		071	MD	5
002235	ALBION COLLEGE	2	2	2			146	146	771	7	20	0	0.03371	0.03727	30	5	5	8		072	MI	4
002239	AQUINAS COLLEGE	2	2	2			278	229	409	22	20	0	0.02022	0.02236	49	6	5	8		073	MI	4
006358	BUTTERWORTH HOSP SCH	3	2	1			38	20	81	22	14	0	0.11292	0.11379	09	4	5	5		074	MI	4
004702	DETROIT BUSINESS INS	5	3	3			1169	574	205	100	14	0	0.00871	0.00839	115	10	5	8		075	MI	4

Exhibit 1-1. Computer generated sampling log (continued)

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SEOG  STUDY                                                                                                  PAGE:   4

                                 AD M  ESTIM.  ACTUAL                                              EST ACT ADJ  AL-  SEQ   ST
OECODE        NAME         T C S IN F  NRECIP  NRECIP   NOS  PHI  MN  CC   F       FF        Z    SMP SMP SMP  PHA  INST  ABR. SI

002260 FERRIS STATE COLLEGE 2-1 4        1809    1598  1900   22  11   0 0.00900 0.01108   111    17  15  21        076   MI   4
002272 HILLSDALE COLLEGE   2 2 9 1                  0          7       0                               0   0        077   MI   4
012556 JACKSON BEAUTY COLLE 5 3 1          10       9   214    7  14   0 0.09761 0.09304    10     3   1   5        078   MI   4
002297 MUSKEGON COMMUNITY C 3 1 3         602     449   840   22  10   0 0.02227 0.01717    45    15  10  15        079   MI   4
002318 SPRING ARBOR COLLEGE 2 2 2         109     107   942    7  20   0 0.02760 0.03051    36     5   5   8        080   MI   4
010699 W A FOOTE MEMORIAL H 3 1 3         514       0  2100    7  10   0 0.02799 0.02158    36    14   0   0        081   MI   4
009230 WAYNE COUNTY COMMUNI 3 1 5       10682    6900  1671  100   0   0 0.00110 0.00110   909    12  12  12 11     082   MI   4
002329 WAYNE STATE UNIVERSI 1 1 4        3171    3461   632  100   6   0 0.00477 0.00457   210    15  17  20        083   MI   4
014198 ABBOTT-NORTHWESTERN 5 3 9 1          5       5         30       0                        5   5   5        084   MN   2
002335 AUSTIN COMMUNITY COL 3 1 2         146     183   337   16  11   0 0.07340 0.06946    14    10   9  14 12     085   MN   2
007351 BROWN INSTITUTE INC  5 3 2         194     150   226   30  14   0 0.02388 0.02289    42     5   4   5        086   MN   2
002344 COLLEGE OF ST TERESA 2 2 2         148     116   337   16  20   0 0.03375 0.03731    30     5   5   5        087   MN   2
010403 GLAMOUR BEAUTY ACADE 5 3 1          28      27    46   30  14   0 0.10595 0.10099    09     3   3   5        088   MN   2
005536 MINNEAPOLIS AREA VOC 4 1 2         465     374   453   30  14   0 0.01481 0.01492    68     7   6   9        089   MN   2
002365 MINNEAPOLIS CLG OF A 2 2 2         174     180   206   30  20   0 0.02944 0.03255    34     5   5   8        090   MN   2
004381 ST MARY'S SCH OF RAD 3 2 9 1                 4         10       0                        4   4   4        091   MN   2
002388 UNIVERSITY OF MINN-D 1 1 3        1179    1206  2070   10  12   0 0.01478 0.01396    68    17  19  29        092   MN   2
003969 UNIVERSITY OF MINN-M 1 1 4        4535    4535  2006   30  11   0 0.00449 0.00547   223    20  20  20        093   MN   2
002350 VERMILION COMMUNITY  3 1 2         174     146   620   10  11   0 0.06384 0.06041    16    11   9  14        094   MN   2
002394 WINONA STATE UNIVERS 2 1 3         763     743  1262   16  12   0 0.02095 0.01984    48    16  10  21        095   MN   2
013208 BAPTIST BIBLE COLLEG 2 2 3         965     769  1008   23  10   0 0.00822 0.00897   122     7   6   8        096   MO   1
002466 HARRIS-STOWE COLLEGE 2 1 3         806     451   212  100  14   0 0.01170 0.01128    85    10   5   6        097   MO   1
013840 LESTER E COX MED CTR 5 3 9 1         4       4         23       0                        4   4   4        098   MO   1
002472 MERAMEC COMMUNITY CO 3 1 4        2674     537   952  100   6   0 0.00683 0.00697   146    10   3   5        099   MO   1
002480 MISSOURI SOUTHERN ST 2 1 3         875     547   982   23  12   0 0.01073 0.01774    93    17  10  13        100   MO   1
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Exhibit 1-1. Computer generated sampling log (continued)

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SEOG STUDY                                                                                                  PAGE:  5

                                 AD M  ESTIM.  ACTUAL                                                 EST ACT ADJ  AL-  SEQ   ST
DECODE        NAME         T C S IN F  NRECIP  NRECIP   NOS  PHI  MK  CC     F       FP       Z       SMP SMP SMP  PHA  INST ABR  SI
002502  SOUTHWEST BAPTIST CO 2 2 3        558     303   606   23  10   0  0.01208 0.01318   83        7   4   5       101  MO   1
002503  SOUTHWEST MISSOURI S 1 1 4       2067    1795  1952   23  11   0  0.00842 0.01026  119       17  17  17       102  MO   1
009782  ST LUKES HOSPITAL SC 3 2 1         30      30    15  100  14   0  0.15439 0.15207   86        5   5   5       103  MO   1
014368  STEED COLLEGE        2 3 2        126      60   208   23  14   0  0.03364 0.03244   30        4   2   5       104  MO   1
002396  ALCORN STATE UNIVERS 1 1 4       2302    1170  1192   41  11   0  0.00774 0.00943  129       10   9  14       105  MS   3
002407  HINDS JR COLLEGE     3 1 4       1806     905   902   41   0   1  0.00360 0.00268  278        7   3   5       106  MS   3
002410  JACKSON STATE UNIVER 1 1 5       9736    4334  2478   41   0   1  0.00360 0.00268  278       21  15  23       107  MS   3
012156  MISSISSIPPI BAPTIST  3 2 9 1                1          41       0                             1   1   1       108  MS   3
011904  PHILLIPS COLLEGE     3 3 2        122     110   114   41  14   0  0.03463 0.03320   29        4   4   5       109  MS   3
002437  ST DOMINIC-JACKSON M 5 2 9 1               14          41       0                             5   5   5       110  MS   3
002906  APPALACHIAN STATE UN 1 1 3       1170    1160  3166    9  12   0  0.01405 0.01406   67       18  17  26       111  NC   3
002911  BENNETT COLLEGE      2 2 2        396     322   444   27  20   0  0.01518 0.01678   66        6   5   6       112  NC   3
011926  LEON'S BEAUTY COLLEG 5 3 1         27      17    51   27  14   0  0.10618 0.10121   89        3   2   5       113  NC   3
002905  NORTH CAROLINA A&T S 1 1 4       2949    2200  2211   27  11   0  0.00634 0.00772  158       19  19  19       114  NC   3
004062  PITT TECHNICAL INSTI 3 1 2        479     209   604   23  11   0  0.02049 0.02696   35       14   6   8       115  NC   3
002970  SURRY COMMUNITY COLL 3 1 2        254     210   311   27  11   0  0.04713 0.04460   21       12  10  15       116  NC   3
002982  WESTERN PIEDMONT CMT 3 1 2        251     157   922    9  11   0  0.04769 0.04513   21       12   8  12       117  NC   3
002986  WINSTON-SALEM STATE  1 1 3       1495    1254  1205   27  12   0  0.01220 0.01155   82       18  15  23       118  NC   3
009994  PASSAIC COUNTY CMTY  3 1 3        970     830   245  100  14   0  0.01013 0.00976   99       10   8   8       119  NJ   6
002632  SETON HALL UNIVERSIT 1 2 3        673     972   103  100  14   0  0.01265 0.01253   79        9  12  19       120  NJ   6
009813  AAA COLLEGE, TECHNIC 5 3 2        100       0   235   17  14   0  0.04052 0.03884   25        4   0   0       121  NM   1
004742  ALBUQUERQUE VOC-TECH 4 1 3        864     578  1311   17   0   1  0.00870 0.00647  115        8   5   8       122  NM   1
002660  NEW MEXICO STATE UNI 6 1 2        226      56   447   17  14   0  0.02648 0.02668   38        6   2   5       123  NM   1
002662  UNIVERSITY OF ALBUQU 1 2 3        769     425  1200   17  10   0  0.00934 0.01019  107        7   4   5       124  NM   1
002663  UNIVERSITY OF NEW ME 1 1 4       3032    3032  4329   17   0   1  0.00531 0.00647  108       20  20  20       125  NM   1
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Exhibit 1-1. Computer generated sampling log (continued)

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BEOG  STUDY                                                                                               PAGE:    6

                                 AD M  ESTIM.  ACTUAL                                                EST ACT ADJ  AL-  SEQ   ST
OECODE         NAME         T C S IN F NRECIP  NRECIP   NOB  PHI  MK  CC     F       FP       I    SMP SMP SMP  PHA  INST  ABR  SI
002666  ADELPHI UNIVERSITY  1 2 3         928     850   237  100  14   0  0.00978 0.00960   102     9   9   9       126   NY    6
007372  AUSTIN BEAUTY SCHOOL 5 3 1         38      26    85   21  14   0  0.08191 0.07808    12     3   2   5       127   NY    6
002692  BRONX COMMUNITY COLL 3 1 4        4746    5775   873  100   6   0  0.00432 0.00441   231    21  25  25       128   NY    6
002699  CLARKSON COLLEGE OF  2 2 2         483     643  1750    8   8   1  0.01244 0.01375    80     6   8  12       129   NY    6
007082  COLUMBIA MEMORIAL HO 3 2 1          19      21    86   15  14   0  0.15599 0.15719     6     4   4   5       130   NY    6
007515  CONCOURSE BEAUTY SCH 5 3 2         259      91    85  100  10   0  0.02799 0.02628    36     7   3   5       131   NY    6
007273  CUNY-BERNARD BARUCH  3 1 5        7509    4079  1268  100   0   0  0.00110 0.00110   909     8   5   8       132   NY    6
002687  CUNY-BROOKLYN COLLEG 2 1 5       10484    4808  1646  100   0   0  0.00110 0.00110   909    12   5   8       133   NY    6
002688  CUNY-CITY COLLEGE    2 1 5        7285    4994  1230  100   0   0  0.00110 0.00110   909     8   6   9       134   NY    6
002689  CUNY-HUNTER COLLEGE  2 1 5        8153    3831  1346  100   0   0  0.00110 0.00110   909     9   5   8       135   NY    6
002690  CUNY-QUEENS COLLEGE  2 1 5        9853    3322  1566  100   0   0  0.00110 0.00110   909    11   4   5       136   NY    6
002868  HUDSON VALLEY COMMUN 3 1 3        1084     821  1238   21  10   0  0.01582 0.01220    63    17  13  20       137   NY    6
002870  JEFFERSON COMMUNITY  3 1 2         428     269  1587    8  11   0  0.03117 0.02950    32    13   8  10       138   NY    6
002785  NEW YORK UNIVERSITY  1 2 3        1416    2360   332  100  14   0  0.00696 0.00691   143    10  17  26       139   NY    6
002697  QUEENSBOROUGH COMMUN 3 1 5        5703    2707  1011  100   5   0  0.00242 0.00249   413    14   7  11       140   NY    6
014342  ROYAL BUSINESS SCHOO 5 3 1          57      57    25  100  10   0  0.09518 0.08936    11     5   5   5       141   NY    6
002810  RUSSELL SAGE COLLEGE 2 2 2         223     181   361   21  20   0  0.02400 0.02653    42     5   4   5       142   NY    6
011342  ST CLARES HOSP SCH O 4 2 9 1                0          0       0                                    0   0       143   NY    6
002829  ST LAWRENCE UNIVERSI 1 2 2         176     216   787    8  20   0  0.02890 0.03195    35     5   6   9       144   NY    6
002856  SUNY AG & TECH CLG - 3 1 2         428     509   604   21  11   0  0.03121 0.02953    32    13  16  24       145   NY    6
002858  SUNY AG & TECH CLG - 3 1 4        2175    1686   468  100   6   0  0.00805 0.00822   124    18  14  17       146   NY    6
002837  SUNY AT BUFFALO      1 1 4        3599    2626   700  100   6   0  0.00430 0.00439   233    15  11  17       147   NY    6
002846  SUNY COLLEGE-NEW PAL 1 1 3        1354    1098  2133   15  12   0  0.01322 0.01252    76    18  14  21       148   NY    6
002850  SUNY COLLEGE-POTSDAM 1 1 3         809     717  2650    8  12   0  0.01996 0.01890    50    16  14  21       149   NY    6
002838  SUNY, STONY BROOK    1 1 4        2524    1582   587  100   6   0  0.00572 0.00584   175    14   9  14       150   NY    6
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Exhibit 1-1. Computer generated sampling log (continued)

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B E O G  S T U D Y                                                                                  PAGE:   7

                                  AD M  ESTIM.  ACTUAL                                          EST ACT ADJ  AL=  SEQ   ST
OECODE        NAME          T C S IN F  NRFCIP  NRECIP   MOS  PHI  MK  CC    F       FP      Z  SMP SMP SMP  PHA  INST  ABR  SI

004825  TAYLOR BUSINESS INST  6 3 3        527     939   150  100  14  0  0.01654 0.01594   60    9  16  24        151   NY   6
002880  ULSTER COUNTY COMMUN  3 1 3        763     490  1346   15  10  0  0.02038 0.01571   49   16  10  15        152   NY   6
002895  VASSAR COLLEGE       -2 2 2        252     644   553   15  20  0  0.02193 0.02425   46    6   6   9        153   NY   6
002899  WAGNER COLLEGE        2 2 2        415     411   124  100  14  0  0.01867 0.01849   54    8   8  12        154   NY   6
007791  WILFRED ACADEMY       5 3 3       1251     872   300  100  14  0  0.00827 0.00797  121   10   7   7        155   NY   6
008439  A.T.E.S TECHNICAL SC  3 2 1         86      11   350   10  14  0  0.05750 0.05794   17    5   1   5        156   OH   4
011709  CINCINNATI METROPOLI  4 3 2        235     119   263   30  14  0  0.02052 0.01967   49    5   3   5        157   OH   4
010323  HANNAH E MULLINS SCH  4 2 9 1        4       4          10      0                          4   4   4        158   OH   4
003051  KENT STATE UNIVERSIT  1 1 4       2425    3000  1500   34  11  0  0.00741 0.00903  135   18  21  21        159   OH   4
010756  LEWIS WEINBERGER & H  5 3 1         50      16   260   10  14  0  0.05623 0.05368   18    3 ~~1~~ 3 ~~5~~ 6  160   OH   4
009412  UNITED ELECTRONICS I  6 3 2        108      38   123   34  14  0  0.03870 0.03710   26    4   1   5        161   OH   4
003134  URSULINE COLLEGE      2 2 2        105     110    41  100  14  0  0.05649 0.05593   18    6   6   9        162   OH   4
003142  WILMINGTON COLLEGE    2 2 3        674     416   618   30  10  0  0.01041 0.01136   96    7   4   5        163   OH   4
009837  YOUNGSTOWN CLG OF BU  6 3 2        177     148   630   10  14  0  0.02569 0.02463   39    5   4   5        164   OH   4
003145  YOUNGSTOWN UNIVERSIT  1 1 4       2532    2220  5200   10   0  1  0.00903 0.01100  111   23  20  30        165   OH   4
003149  BETHANY NAZARENE COL  2 2 2        349     292   300   35  20  0  0.01688 0.01866   59    6   5   7        166   OK   2
003156  EL RENO JR COLLEGE    3 1 2        178     117   180   35  11  0  0.06282 0.05945   16   11   7  11        167   OK   2
013772  MERCY HEALTH CENTER   3 3 9 1                0          35      0                              0   0        168   OK   2
003163  NORTHWESTERN OKLAHOM  1 1 2        386     318  5050    8   0  1  0.05458 0.05500   18   21  18  29        169   OK   2
013530  O. T. AUTRY AREA VOC  5 3 1         12       5   650    2  14  0  0.11247 0.10721   89    3   1   5        170   OK   2
009185  OSCAR ROSE JR COLLEG  3 1 4       1905     785  1202   35   0  1  0.00422 0.00314  237    8   3   5        171   OK   2
003175  PHILLIPS UNIVERSITY   1 2 2        152     150  2000    2   0  1  0.04975 0.05500   20    8   8  12        172   OK   2
003184  UNIVERSITY OF OKLAHO  1 1 4       2476    1923  1482   35  11  0  0.00729 0.00888  137   18  14  21        173   OK   2
009583  EXECUTIVE INST OF HA  4 3 1         34      26    54   31  14  0  0.08735 0.08326   11    3   2   5        174   OR   1
003207  MUSEUM ART SCHOOL     2 2 1         37      45    58   31  14  0  0.11192 0.11278   89    4   5   7        175   OR   1
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Exhibit 1-1. Computer generated sampling log (continued)

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SEOG STUDY                                                                                                   PAGE:   8

                              AD H  ESTIM.  ACTUAL                                             EST ACT ADJ  AL-  SEQ   ST
OECODE        NAME     T C S  IN F  NRFCIP  NRECIP   MOS  PHI  MX  CC     F       FP       Z   SMP SMP SMP  PHA  INST  ABR  SI
003213 PORTLAND COMMUNITY C 3 1 4     3086    1390  1996   31   0   1 0.00477 0.00355  210    15   7  11        176   OR   1
003216 PORTLAND STATE UNIVE 1 1 4     1009    1459  1348   31  11   0 0.00905 0.01103  110    17  13  20        177   OR   1
003225 WARNER PACIFIC COLLE 2 2 2      126     103   154   31  20   0 0.03011 0.04213   26     5   4   5        178   OR   1
005897 ALIQUIPPA HOSP SCH R 3 2 9 1              0          0       0                               0   0        179   PA   5
005900 BRYN MAWR HOSPITAL S 3 3 9 1              0          0       0                               0   0        180   PA   5
003239 BUCKS COUNTY COMMUNI 3 1 3      613     418   170  100  14   0 0.01459 0.01406   69     9   6   9        181   PA   5
003244 CHATHAM COLLEGE      2 2 2      106     105    42  100  14   0 0.05514 0.05460   18     6   6   9        182   PA   5
003249 COMMUNITY CLG PHILAD 3 1 5     6092    7275  1190  100   5   0 0.00206 0.00212  485    14  15  15        183   PA   5
004058 GRATZ COLLEGE        2 2 9 1              0          0       0                               0   0        184   PA   5
004049 INTERNAT'L CORRESPON 5 3 5    21667       0  2942  100   0   0 0.00110 0.00110  909    24   0   0        185   PA   5
003285 LANCASTER BIBLE COLL 2 2 2      108     138   466    9  20   0 0.04330 0.04796   23     5   5   5        186   PA   5
003332 PENNSYLVANIA STATE U 6 1 2      157     142    57  100  14   0 0.04353 0.04195   23     7   6   9        187   PA   5
003340 PENNSYLVANIA STATE U 6 1 2      106     104   466    9  14   0 0.04798 0.04035   21     5   5   8        188   PA   5
004903 PHILADELPHIA SCH OF  3 3 2      211     484    72  100  10   0 0.03305 0.03103   30     7  17  17        189   PA   5
003360 ROSEMONT COLLEGE     2 2 1       71      50    30  100  14   0 0.07720 0.07644   13     6   4   5        190   PA   5
011131 SAWYER SCHOOL,THE-PI 3 3 2      241     139    80  100  10   0 0.02975 0.02793   34     7   4   5        191   PA   5
003326 SHIPPENSBURG STATE C 2 1 3      566     654  1766    9  12   0 0.02662 0.02521   38    15  17  22        192   PA   5
003372 TEMPLE UNIVERSITY    6 1 4     1724    1574   380  100   5   0 0.00632 0.00650  150    11  10  15        193   PA   5
007472 YORK ACADEMY OF ARTS 3 3 1       59      56   208    9  14   0 0.05641 0.05377   10     3   3   3        194   PA   5
014339 YORK HOSP SCH OF RES 3 3 9 1              1          9       0                       1   1   1        195   PA  45
003420 BENEDICT COLLEGE     2 2 4     1783    1154  1050   38   0   1 0.00309 0.00289  257     7   5   8        196   SC   3
003993 MIDLANDS TECHNICAL C 3 3 4     1792     606  1055   38   0   1 0.00309 0.00289  257     7   3   5        197   SC   3
003439 MORRIS COLLEGE       2 2 3      596     400   436   38  10   0 0.01150 0.01255   87     7   5   5        198   SC   3
011552 RICHLAND MEM HOSP SC 4 3 9 1              0         38       0                               0   0        199   SC   3
003454 UNIV OF SC AT SALKEH 6 1 1       77      81    84   38  14   0 0.06300 0.06353   16     5   5   8        200   SC   3
```

Exhibit 1-1. Computer generated sampling log (continued)

```
S E O G   S T U D Y                                                                                                    PAGE:    9

                                   AD M  ESTIM.  ACTUAL                                                 EST ACT ADJ  AL-  SEQ   ST
OECODE        NAME         T C S  IN F  NRECIP  NRECIP   MOS  PHI  MX  CC     F        FP       Z      SMP SMP SMP  PHA  INST  ABR  SI
003440  UNIVERSITY OF SOUTH  1 1 4           2769    2328  1492   30  11   0  0.00667 0.00813  150       19  16  24        201   SC   3
003500  LEE COLLEGE          2 2 3            559     445   752   21  10   0  0.01207 0.01317   83        7   5   8        202   TN   3
006836  MOTLOW STATE COMMUNI 3 1 2            209     153   342   21  11   0  0.05511 0.05215   18       12   9  14        203   TN   3
004942  NATIONAL SCHOOL OF B 3 3 2            249      66   395   21  14   0  0.01952 0.01871   51        5   1   5        204   TN   3
003524  TENNESSEE TEMPLE COL 2 2 3            830     704  1028   21  10   0  0.00882 0.00963  113        7   6   9        205   TN   3
003525  TENNESSEE WESLEYAN C 2 2 2            150      97   261   21  20   0  0.03319 0.03670   30        5   3   5        206   TN   3
014305  ARLINGTON BAPTIST CO 2 3 1             54      61   100   24  14   0  0.06092 0.05807   16        3   4   5        207   TX   2
012015  AUSTIN COMMUNITY CLG 3 1 3            942     655  1039   23  10   0  0.01722 0.01328   58       16  11  17        208   TX   2
010387  EL PASO COMMUNITY CO 3 1 4           3127    3736  2604   24   0   1  0.00616 0.00458  162       19  23  25        209   TX   2
003577  HOUSTON TILLOTSON CO 2 2 2            450     256   578   23  20   0  0.01368 0.01513   73        6   5   5        210   TX   2
013091  PAN AMERICAN ACAD OF 5 3 1             53      17    24  100  10   0  0.09915 0.09309   10        5   2   5        211   TX   2
003626  TARRANT COUNTY JR CO 3 1 4           2244    1009  2000   24   0   1  0.00616 0.00458  162       14   6   9        212   TX   2
003612  UNIV OF HOUSTON/DOWN 3 2 3            712     760   191  100  14   0  0.01213 0.01201   82        9  14  14        213   TX   2
003656  UNIVERSITY OF TEXAS- 1 1 3           1062    1152  1100   24  12   0  0.01603 0.01518   62       17  17  26        214   TX   2
003658  UNIVERSITY OF TEXAS- 1 1 4           3955    3696  3202   23   0   1  0.00392 0.00478  255       16  15  23        215   TX   2
003661  UNIVERSITY OF TEXAS- 1 1 4           4841    3932  3695   24   0   1  0.00376 0.00458  266       18  15  22        216   TX   2
012296  VOGUE BEAUTY COLLEGE 5 3 1             49      25    95   23  14   0  0.06691 0.06378   15        3   2   5        217   TX   2
003702  AVERETT COLLEGE      2 2 2            208     200   720   10  20   0  0.02527 0.02794   40        5   5   8        218   VA   5
003758  DANVILLE COMMUNITY C 3 1 2            370     233  1130   10  11   0  0.03502 0.03314   29       13   8  12        219   VA   5
010392  LIBERTY BAPTIST COLL 2 2 3            601     555  1670   10  10   0  0.01141 0.01245   88        7   6   9        220   VA   5
003762  VIRGINIA COLLEGE, TH 1 2 1             54      36   240   10  14   0  0.08384 0.08449   12        5   5   5        221   VA   5
005000  FORT STEILACOOM CMTY 3 1 3            514     276  1336   11  10   0  0.02800 0.02159   36       14  11  11        222   WA   1
013859  PROMETHEUS COLLEGE   3 3 2            121       4   418   11  14   0  0.03521 0.03375   28        4   1   4        223   WA   1
003797  UNIVERSITY OF THE PU 1 2 2            293     293   854   11  20   0  0.01936 0.02141   52        6   6   9        224   WA   1
007019  ST FRANCIS HOSP SCH  3 3 2            175       0   387   16  14   0  0.02614 0.02506   38        5   0   0        225   WI   4
```

with a random start 10 times the number of recipients to be sampled.*

Stage 2. The procedure described above (for less than 250 recipients) was used to draw the final sample, where Z_{hij} was set equal to 10.

The subsampling in the field was done by specifying the sample size and providing procedures to handle all possible situations which were faced when sampling on site. The "Procedures for Selecting Student Sample from Institutional Records" is attached as Appendix C.

f. Stratification and First-Stage Selection of ADS Schools

A total of 943 institutions was identified with codes indicating that they were eligible, but for which numbers of grants were not available for 1977-78 and could not be imputed by the methods presented in Section 1.2. It was determined that these schools were largely ADS schools and they also had to be sampled. For convenience, they are referred to in this report as "ADS institutions" even though some of them may have been RDS institutions and some of the institutions sampled by the methods presented previously were known to be ADS institutions.

The universe counts of ADS institutions, by control and type, are shown in Table 1-5. This tabulation excludes schools in Alaska, Hawaii and the Possessions and also excludes one large university, an ADS institution which is so large that its inclusion would have distorted the ability to generalize to other ADS institutions. It could, of course, have been sampled with certainty, but a decision was made to apply the available resources in another manner.

---

*This procedure insured that a spread of grant sizes was selected in each sampled school and thereby tended to reduce the sampling error.

Table 1-5. Universe counts of ADS institutions by control and type

Type	Control			
	Public	Private	Proprietary	Total
Four-year	12	55	6	73
Two-year	114	203	157	474
Other	39	113	244	396
Total	165	371	407	943

Excluding the one large ADS institution, it was estimated that the remaining ADS institutions would have smaller enrollments on the average than the RDS institutions. For this and other reasons it was decided to sample only 20 such institutions, roughly one out of 47, compared to approximately one out of 26 RDS institutions.

The universe file of ADS institutions was sorted by the certainty (25 largest SMSA's) and noncertainty subuniverses and the sample of 20 was allocated to each, as follows:

	Number of institutions in universe	Sample size	Probability of selection
Certainty subuniverse	271	6	0.0221
Noncertainty subuniverse	672	14	0.0208
	943	20	

Each subuniverse was sorted by control within type of institution, with the "control" order reversed in adjacent types. The samples of 6 and 14 were then drawn by means of a systematic sample with a random start in each subuniverse. The allocation of the sample, by control and type, is shown in Table 1-6.

Table 1-6. ADS sample, by control and type of institution

Type	Control			
	Public	Private	Proprietary	Total
Four-year	1	2	0	3
Two-year	2	4	3	9
Other	1	3	4	8
Total	4	9	7	20

1.1.2 The Mail Sample

Schools in the mailout survey were selected according to the following procedures:

- For certainty PSU's, the sampling interval was cut in half and additional schools were selected. This procedure produced a nonoverlapping sample of schools.
- For schools in the noncertainty PSU's the sample was selected as follows:
    - All of the schools in the entire file (including conditional certainty schools) were assigned substrata, strata and PSU numbers within the substrata (this included all of the PSU's; i.e., both those previously selected and those not selected).

- The schools were then sorted by substrata, strata and PSU numbers within substrata.
- The measure of size was cumulated over the entire file and a new sampling interval was computed.
- Finally, using the new sampling interval, the schools were selected with probability proportional to the measure of size.

Note that this procedure permits schools to appear in both samples, the personal interview sample and the mail sample. When such duplications occurred, the data were taken from the personal interview and included in both samples. Also, the seven certainty schools were included in both samples.

1.2 Basic Sampling Weights

1.2.1 Institutional Weights for the Interview Samples

The basic sampling weights are the inverses of the probabilities of selection.

- For the seven certainty schools, the probability of selection is 1.0, hence the weight is 1.0.
- For the schools drawn in the 25 largest SMSA's, the probability of selection is P_{si}; i.e., the probability of selection of the i^{th} school in the s^{th} substratum. The basic sampling weight is $W_{si} = 1/P_{si}$.
- For the schools drawn outside the 25 largest SMSA's the probability is P_{hpsi}; i.e., the probability of drawing in i^{th} school in the s^{th} substratum and p^{th} PSU of the h^{th} stratum. The basic weight is $W_{hpsi} = 1/P_{hpsi}$.
- For all ADS schools, the probability of selection of the i^{th} school can be expressed as P_{hi}, where h is the stratum subscript for the appropriate combination of control and type of school.

1.2.2 Institutional Weights for the Mail Survey

The probabilities of selection can be denoted as follows:

- 1.0 for the seven certainty schools
- P_{si} for the schools drawn in the 25 largest SMSA's.
- P_{si} for the schools drawn outside the 25 largest SMSA's. Note that the schools were not stratified by ZIP Code for this purpose.
- P_{hi} for ADS schools.

All basic weights are the inverses of the probabilities of selection. The mail survey was completed by the Division of Quality Assurance, so the adjustments for nonresponse are not included in this report.

1.2.3 Student Weights

Students (and their associated parents) were given weights by attaching a subscript j to the school weights. The student weight was found by multiplying the school weight by the inverse of the sampling fraction within the school. Thus,

- For certainty schools

  $$W_{ij} = 1/f_i$$

- For schools in the 25 largest SMSA's

  $$W_{sij} = W_{si} / f_{si}$$

- For schools outside the 25 largest SMSA's

  $$W_{hpsij} = W_{hpsi} / f_{hpsij}$$

- For ADS schools

$$W_{hij} = W_{hi} / f_{hi}$$

1.3 Response Rates

1.3.1 Institutions

All institutions in the interview sample responded.

1.3.2 Students and Parents

The sampling procedures described in Section 1.1.1 produced a sample of 2,296 students, of whom 832 were independent students and 1,464 were dependent students. For purposes of analysis, a dependent student's record was considered to be complete if both the student and the parent responded to the interview. An independent student's record was considered to be complete if only the student responded. The reason for the difference in treatment is that the eligibility of an independent student to receive a grant depends only upon the student's financial status. While it is true that an interview with the parents may have revealed an error in classification of the students as independent, there was no way to require parents of independent students to cooperate. On an unweighted basis, the responses are displayed in Table 1-7.

1.4 Adjustment of Student Weights for Nonresponse

Adjustments for nonresponse were made on a weighted basis. In order to understand the adjustment it is necessary to

Table 1-7. Total sample, responses and nonresponses-unweighted

Response Category	Dependent	Independent	Total
Total sample	1,464	832	2,296
Ineligible (not a student, no grant, submitted supplemental request)	32	57	89
Net eligible sample	1,432	775	2,207
Completed	1,240	680	1,920
Unweighted percent	87%	88%	87%
Classification of Non-response:			
Student response - no parent	109	-	109
Refusal	5	10	15
Avoidance (Presumably intentional)	10	9	19
Physical or language barrier (including death	6	11	17
Unable to locate	36	42	78
Other (including those in remote areas)	26	23	49
Total nonresponse	192	95	287

describe the method used to close out the field work. All of the interviews completed as of a certain date were given the basic weights described above. All remaining field work was subsampled at varying rates, depending upon location and ability to cluster interviews. The rate of subsampling varied from one (certainty) to one in three. This subsample of the nonresponses was reassigned to the field and all work not completed by June 1 was closed out and classified as nonresponse, as shown in Table 1-7. The subsampling fractions used in closing out the field work were inverted and multiplied by the basic weights described earlier to produce revised basic weights for those students in the closeout sample. It should be noted that the selection of a closeout sample did not bias the estimates. By assigning the closeout sample to the best interviewers, the response rate was increased materially over the level that could have been achieved with the same resources without the subsampling.

Nonresponse adjustments were applied to the weights, separately for independent and dependent students, for each major stratum of response. The results are shown in Table 1-8.

Three items are worth noting. First, the response rates were uniformly good over all strata, since none of the nonresponse adjustments exceeds 1.23. Second, the overall weighted response rate (not shown in the table) was 88.7 percent. Third, the sum of the adjusted weights of 1,370,000 is the estimated number of grants outstanding at the time the sample was drawn (late fall, 1978), excluding Alaska, Hawaii, the Possessions, and resubmissions of applications. At the end of the year (June, 1979) there were about 1.8 million grants. Although no regular reports are available concerning the number of grants as of specific times during the study period, a figure of 1.5 million outstanding grants as of December 31, 1978 was provided to us by the Bureau of Student Financial Assistance. Thus, our figure of 1.4 million in October (approximately) appears to be reasonable.

Table 1-8. Nonresponse adjustments to student weights

Nonresponse adjustment group	Dependent students		Independent students		Total adjusted weight
	Adjusted weight	Nonresponse adjustment	Adjusted weight	Nonresponse adjustment	
Certainty schools	18.500	1.094	6.934	1.145	25.434
ADS Schools	3.769	1.236	3.118	1.059	6.887
Outside large SMSA's					
01	54.390	1.063	25.628	1.131	80.018
02	31.495	1.172	24.906	1.110	56.401
03	116.652	1.158	34.594	1.137	151.246
04	234.347	1.134	94.087	1.174	328.434
05	97.344	1.154	24.717	1.125	122.061
06	32.191	1.227	18.703	1.168	50.894
07	9.787	1.046	10.693	1.178	20.480
08	14.253	1.214	9.352	1.158	23.605
09	38.437	1.039	24.212	1.088	62.649
10	43.365	1.205	32.009	1.066	75.374
Within large SMSA's					
01	35.210	1.108	22.030	1.158	57.240
02	31.722	1.129	34.415	1.107	66.137
03	69.911	1.052	24.302	1.090	94.213
04	16.899	1.176	16.867	1.243	33.766
05	38.152	1.109	37.554	1.075	75.706
06	17.841	1.046	21.196	1.154	39.037
Totals	904.265		465.317		1.369.582

1.5 Weighted Estimates

1.5.1 Institutions

Let x_{hpsi} be the value of a characteristic of the i^{th} school in the s^{th} substratum, p^{th} PSU and h^{th} stratum where the subscripts h, p and s are dropped when inappropriate (see Section 1.2.2). Let w'_{hpsi} be the institution weight (adjusted for nonresponse in the case of the mail survey schools). Then, an estimate of the universe total of the characteristic x is

$$\hat{X} = \sum_{hpsi} w'_{hpsi} x_{hpsi}$$

One can define y to be another characteristic, in which case the ratio $\hat{X}/\hat{Y}$ is an average or a proportion. For example, if x is one if the school is a public school with a given "satisfactory-progress" policy and zero otherwise, and if y is one if the school is a public school, then the ratio $\hat{X}/\hat{Y}$ is an estimate of the proportion of public schools having the given policy.

1.5.2 Students

Let x_{hpsij} be the value of a variable for student j in school i of substratum s, PSU p and stratum h, and let w'_{hpsij} be its corresponding weight, adjusted for nonresponse. In particular, x'_{hpsij} may equal 1 if the student has a given characteristic and zero otherwise, or it may be a multi-valued variable such as the student's eligibility index (EI). Then, an estimate of the total for the x variable over the entire universe is:

$$\hat{X} = \sum_{hpsij} w'_{hpsij} \; x_{hpsij}$$

Note that for certainty schools only the subscripts i and j apply. For schools in the 25 largest SMSA's, applicable subscripts are s, i and j and so on, as described in Section 1.2.3.

We can similarly define $\hat{Y}$ for another variable, in which case the ratio $\hat{X}/\hat{Y}$ is an estimate of an average value or a proportion. For example, if x_{hpsij} is the error in EI for dependent students and $y_{hpsij} = 1$ if the student is dependent and zero otherwise, then the ratio $\hat{X}/\hat{Y}$ is an estimate of the average error per dependent student.

1.6 Estimation of Sampling Errors

1.6.1 Institutions

Every estimate, $\hat{X}$, can be expressed as the sum of four components as follows:

$$\hat{X} = \hat{X}_1 + \hat{X}_2 + \hat{X}_3 + \hat{X}_4 \tag{1}$$

where $\hat{X}_1$ is the estimate from the certainty schools, $\hat{X}_2$ is the estimate from the ADS schools, $\hat{X}_3$ is the estimate from the RDS schools in the 25 largest SMSA's and $\hat{X}_4$ is the estimate from the remaining schools. In general, the variance of $\hat{X}$ is the sum of the variances of the four components, since the samples were drawn independently in each.

That is:

$$\text{Var } \hat{X} = \text{Var } \hat{X}_1 + \text{Var } \hat{X}_2 + \text{Var } \hat{X}_3 + \text{Var } \hat{X}_4 \qquad (2)$$

We examine these components separately.

For institutions, Var $\hat{X}_1 = 0$, since they were selected with certainty.

For ADS schools, a sample of 20 schools was selected in 9 cells of a two-way stratification (see Table 1-6). Some collapsing is necessary to estimate the variance since these are not two observations per cell. For variance estimation purposes, the strata were redefined so as to have two or more interviewed schools in every stratum. An estimate of Var $\hat{X}_2$ is then:

$$\text{var } \hat{X}_2 = \sum_h N_h^2 \frac{(x'_{hi} - \bar{x}_h)^2}{n_h \ (n_h - 1)} \qquad (3)$$

where N_h is the number of schools in the collapsed stratum, n_h is the corresponding number of sampled schools, $x'_{hi} = w_{hi} \ x_{hi}$, and $\bar{x}_h = \sum_i x'_{hi}/n_h$.

For RDS schools within the 25 largest SMSA's, the variance of $\hat{X}_3$ was estimated by

$$\text{var } \hat{X}_3 = \sum_s \frac{n_s}{n_s - 1} \sum_i (x'_{si} - \bar{x}_s)^2 \qquad (4)$$

where $x'_{si} = w'_{si} \ x_{si}$, and $\bar{x}_s = \sum_i x'_{si} / n_s$.

For RDS schools outside the largest 25 SMSA's, the variance of $\hat{X}_4$ was estimated by

$$\text{var } \hat{X}_4 = \sum_h \frac{n_h}{n_h - 1} (x'_{hp} - \bar{x}_h)^2 \ . \tag{5}$$

where strata were redefined, as necessary, so as to have at least two responding schools in each stratum,

$$x'_{hp} = \sum_{si} w'_{hpsi} \ x_{hpsi}, \text{ and } \overline{x_h} = \sum_p x'_{hp}/n_h \ .$$

In the estimation of the variance of estimates of ratios, the variance of the y variable was similarly defined, as was the covariance between x and y. That is,

$$\text{cov } \hat{X}_2\hat{Y}_2 = \sum_h N_h^2 \frac{(x'_{hi} - \bar{x}_h)(y'_{hi} - \bar{y}_h).}{n_h (n_h - 1)} \tag{6}$$

$$\text{cov } \hat{X}_3\hat{Y}_3 = \sum_s \frac{n_s}{n_s - 1} \sum_i (x'_{si} - \bar{x}_s)(y'_{si} - \bar{y}_s). \tag{7}$$

$$\text{cov } \hat{X}_4\hat{Y}_4 = \sum_h \frac{n_h}{n_h - 1} (x'_{hp} - \bar{x}_h)(y'_{hp} - \bar{y}_h). \tag{8}$$

The relvariance* of a ratio $r = \hat{X}/\hat{Y}$, is

$$V_r^2 = V_r^2 + V_y^2 - 2V_{xy}$$

where V_x^2 is the relvariance of X, V_y^2 is the relvariance of y and V_{xy} is the recovariance of x and y, that is, the ratio of the covariance of x and y to the product of their estimated totals.

---

*Square of the coefficient of variation

In terms of the above construction,

$$v_r^2 = \frac{\text{var } \hat{X}}{\hat{X}^2} + \frac{\text{var } \hat{Y}}{\hat{Y}^2} - 2 \frac{\text{cov } \hat{X} \hat{Y}}{\hat{X} \hat{Y}}$$

where

$$\text{var } \hat{X} = \text{var } \hat{X}_2 + \text{var } \hat{X}_3 + \text{var } \hat{X}_4$$

$$\text{var } \hat{Y} = \text{var } \hat{Y}_2 + \text{var } \hat{Y}_3 + \text{var } \hat{Y}_4$$

$$\text{var } \hat{X}\hat{Y} = \text{cov } \hat{X}_2\hat{Y}_2 + \text{cov } \hat{X}_3\hat{Y}_3 + \text{cov } \hat{X}_4\hat{Y}_4$$

An estimate of the variance of r is simply $v_r^2 \frac{\hat{Y}^2}{\hat{X}^2}$

1.6.2 Students

The variances of estimates of student characteristics were obtained by modifying slightly the procedures described above.

While there is no variance among certainty institutions with respect to institutional characteristics, there is a component of variance among certainty institutions with respect to student characteristics. That component is the variation among students within the institution. It can be estimated by

$$\text{var } \hat{x}_1 = \sum_1 \frac{n_i}{n_i - 1} \sum_{j=2}^{n_1} (x_{ij+1} - x_{ij})^2$$

with corresponding modification of the formulas for var $\hat{Y}$ and cov $\hat{X}\hat{Y}$.

In var X_2, Eq. (3) and (6), we place X'_{hi} by $x'_{hi} = \sum_j w'_{hij} \ x'_{hij}$. In Eq. (4) and (7) we replace x'_{si} by $\sum_j w'_{sij} \ x'_{sij}$, in Eq. (5) and (8) we replace x'_{hp} by $\sum_{sij} w'_{hpsij} \ x'_{hpsij}$.

All other variables remain as given in Section 1.6.1.

1.7 Sampling Errors of Key Statistics

Sampling errors for some key institutional statistics are given in Table 1-9 and for some key recipient characteristics in Table 1-10. There are some differences between the numbers given in the "Estimate" columns of these tables and the corresponding numbers in the report. The reason is that the numbers reported here exclude all cases for which imputations were made in order to avoid underestimating the sampling error.

Table 1-9. Sampling errors for key institutional characteristics

	Question (abstracted)	Estimate	Std. Error	Coefficient of Variation
35a.	Do you check the student's enrollment status...(number of institutions)			
	Yes	5,214	597	0.11
	No	422	181	0.43
35b.	For how many students have you computed awards without checking enrollment status? (number of students)	102,000	23,500	0.23
39.	Do you require a student to complete an affidavit of Educational Purpose? (No. of institutions)			
	Always	5,029	601	0.12
	Sometimes	120	83	0.69
	Never	73	8.3	0.11
43.	Do you require that a valid SER be provided before making an award? (No. of institutions)			
	Yes	5,169	611	0.12
	No	53	40	0.72
53.	Did you initiate validation prior to publication of BEOG regulations? (No. of institutions)			
	Yes	2,860	409	0.14
	No	1,911	335	0.18
54.	Do you have policy that requires documentation of income? (No. of institutions)			
	Formal policy	1,216	217	0.18
	Informal policy	974	207	0.21
	No	2,981	516	0.17
55.	How do you determine which students to validate? (No. of institutions)			
	Validate all	625	154	0.25
	Suspicious circumstances	847	195	0.23
	Selected by OE	101	65	0.65
60.	How often does your institution require documentation of assets and debts? (No. of institutions)			
	Always	178	51	0.29
	Only for suspected students	1,079	225	0.21
	Only when required for validation	1,776	355	0.20
	Never	1,531	321	0.21

Table 1-9. Sampling errors for key institutional characteristics (cont'd)

	Question (abstracted)	Estimate	Std. Error	Coefficient of Variation
63.	How often does your institutions require documentation of citizenship/residency? (No. of institutions)			
	Always	977	252	0.26
	Only for suspected students	1,913	283	0.15
	Never	1,988	396	0.20
69.	How many students have been selected for validation? (No. of students)	127,500	24,200	0.19
70.	How many students have had to make corrections as a result of validation? (No. of students)	54,300	11,000	0.20
71.	How many award changes have resulted? (No of students)	25,700	7,600	0.30
72.	How many students have not responded to the request for documentation? (No. of students)	30,500	12,400	0.41
81.	Have you made any BEOG awards to students who owe money on any BEOG, SEOG, etc.? (No. of institutions)			
	Yes, if repaying	190	108	0.57
	No	4,339	515	0.12
82.	Do you determine default status before disbursements? (No. of institutions)			
	Yes	3,888	483	0.12
	No	1,585	303	0.19
86.	Do you check for bachelor's degree? (No. of institutions)			
	Yes	4,597	553	0.12
	No	1,091	239	0.22
11B.	Overpayments to ineligible students (No. of students)	795	360	0.45
11D.	Overpayments due to calculation error (No. of students)	4,402	2,041	0.46
11F.	Overpayments due to drop out (No. of students)	11,313	2,152	0.19
11H.	Overpayment detected in OE validation (No. of students)	1,929	1,159	0.60
11J.	Overpayments for other reasons (No. of students)	1,208	583	0.48

Table 1-9. Sampling errors for key institutional characteristics (cont'd)

	Question (abstracted)	Estimate	Std. Error	Coefficient of Variation
12B.	Collections by deducting from payments (No. of students)	8,467	2,960	0.35
12D.	Collections based on signed agreement (No. of students)	1,814	713	0.39
12F.	Collections by billing student (No. of students)	7,317	1,845	0.25
12H.	Collections by suspending next payment (No. of students)	1,486	844	0.57
12J.	Collections by adjusting student accounts (No. of students)	1,843	791	0.43
12K.	Collect by blocking enrollment (No. of students)	642	321	0.50
12L.	Collect by writing student (No. of students)	316	178	0.56
12M.	Collect by other methods (No. of students)	937	437	0.47
16A.	How often call OE - National for advice or assistance? (No. of institutions)			
	Frequently	750	237	0.32
	Occasionally	1,399	262	0.19
	Rarely	1,962	299	0.15
	Never	1,567	345	0.22
16B.	How often call OE - Regional for advice or assistance? (No. of institutions)			
	Frequently	940	220	0.23
	Occasionally	2,512	429	0.17
	Rarely	1,095	231	0.21
	Never	1,130	260	0.23
16C.	How often call application processor for advice or assistance? (No. of institutions)			
	Frequently	792	145	0.18
	Occasionally	1,354	279	0.21
	Rarely	1,109	275	0.25
	Never	2,409	368	0.15
16D.	How often call public information service for advice or assistance? (No. of institutions).			
	Frequently	441	145	0.33
	Occasionally	654	166	0.25
	Rarely	538	145	0.27
	Never	3,955	518	0.13

Table 1-9. Sampling errors for key institutional characteristics (cont'd)

Question (abstracted)	Estimate	Std. Error	Coefficient of Variation
16E. How often call "other" for advice or assistance? (No. of institutions)			
Frequently	516	170	0.33
Occasionally	418	189	0.39
Rarely	110	92	0.83
Never	4,577	538	0.12
17B. Difficulty in contacting OE - National (No. of institutions).			
None	2,163	342	0.16
A little	739	169	0.23
Some	412	111	0.27
Great deal	508	182	0.36
Impossible	234	131	0.56
Did not call	1,621	349	0.22
17D. Difficulty in contacting OE - Regional (No. of institutions).			
None	3,338	478	0.14
A little	466	121	0.26
Some	314	82	0.26
Great deal	372	143	0.38
Impossible	68	58	0.85
Did not call	1,129	261	0.23
17F. Difficulty in contacting application processor (No. of institutions).			
None	2,000	318	0.16
A little	438	128	0.29
Some	358	94	0.26
Great deal	241	145	0.60
Impossible	47	26	0.55
Did not call	2,422	367	0.15
17H. Difficulty in contacting public information service (No. of institutions)			
None	1,074	242	0.22
A little	150	100	0.67
Some	154	74	0.48
Great deal	98	47	0.48
Impossible	67	43	0.64
Did not call	4,103	527	0.13
25. No. persons trained off-site (No. of persons)	11,194	1,204	0.11
26. How would you rate BEOG Training? (No. of institutions)			
Excellent	1,467	269	0.18
Good	2,308	384	0.17
Fair	750	217	0.29
Poor	154	65	0.42
Useless	291	137	0.47

Table 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Number of Recipients with Overpayments (Thousands)			
Due to recipient error	331.8	35.9	0.11
By control			
Public	203.6	22.5	0.11
Private	94.6	10.7	0.11
Proprietary	33.6	6.8	0.20
By type			
Four year	225.5	23.7	0.11
Two year	78.0	9.1	0.12
Other	28.3	6.0	0.21
By application			
BEOG	60.1	10.1	0.17
FAF	87.9	15.1	0.17
FFS	172.7	21.8	0.13
Other	11.1	3.7	0.33
Due to institutional error	439.2	51.7	0.12
By control			
Public	343.3	40.3	0.12
Private	75.7	8.7	0.11
Proprietary	20.2	3.1	0.15
By type			
Four year	293.9	36.4	0.12
Two year	125.2	14.4	0.11
Other	20.1	3.5	0.17
By application			
BEOG	85.8	14.8	0.17
FAF	122.1	21.6	0.18
FFS	222.6	34.9	0.16
Other	*	*	*

*Too few errors and applications to make estimates.

Table 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Overpayments (Millions of dollars)			
Due to recipient error	118.3	13.1	0.11
By control			
Public	76.6	8.2	0.11
Private	32.3	4.7	0.14
Proprietary	9.4	1.9	0.20
By type			
Four year	77.4	9.0	0.12
Two year	31.7	3.9	0.12
Other	9.2	1.8	0.20
By application			
BEOG	20.6	2.8	0.14
FAF	31.9	4.9	0.15
FFS	62.0	7.8	0.13
Other	3.7	1.3	0.35
Due to institutional error	59.2	8.5	0.14
By control			
Public	13.4	2.1	0.15
Private	41.7	7.1	0.17
Proprietary	4.2	2.5	0.59
By type			
Four year	37.7	5.6	0.15
Two year	16.3	4.0	0.24
Other	5.2	2.5	0.48
By application			
BEOG	11.8	4.3	0.36
FAF	17.3	3.5	0.20
FFS	30.1	5.3	0.18
Other	*	*	*

*Too few errors and applications to make estimates.

Table 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Average overpayment for those with overpayments (dollars)			
Due to recipient error	356	13	0.04
By control			
Public	376	18	0.05
Private	341	25	0.07
Proprietary	280	32	0.11
By type			
Four year	343	17	0.05
Two year	406	28	0.07
Other	323	31	0.10
By application			
BEOG	344	25	0.07
FAF	363	18	0.05
FFS	359	21	0.06
Other	338	4	0.01
Due to institutional error	135	18	0.13
By control			
Public	121	18	0.15
Private	176	29	0.16
Proprietary	207	99	0.48
By type			
Four year	128	21	0.16
Two year	131	27	0.21
Other	255	93	0.37
By application			
BEOG	138	38	0.28
FAF	142	26	0.18
FFS	135	25	0.19
Other	*	*	*

*Too few errors and applications to make estimates.

Table 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Number with underpayments (thousands)			
Due to recipient error	215.6	27.8	0.13
By control			
Public	127.8	17.0	0.13
Private	75.2	11.7	0.15
Proprietary	12.6	2.7	0.21
By type			
Four year	158.9	18.9	0.12
Two year	41.4	5.7	0.14
Other	15.3	2.5	0.17
By application			
BEOG	46.0	9.1	0.20
FAF	54.9	9.0	0.16
FFS	107.2	15.7	0.15
Other	7.5	2.7	0.36
Due to institutional error	370.8	49.6	0.13
By control			
Public	325.5	43.7	0.13
Private	28.0	4.5	0.16
Proprietary	17.3	2.8	0.16
By type			
Four year	208.5	32.6	0.16
Two year	143.8	23.7	0.16
Other	18.5	5.0	0.27
By application			
BEOG	59.1	8.4	0.14
FAF	122.1	21.6	0.18
FFS	179.2	30.2	0.17
Other	*	*	*

*Too few errors and applications to make estimates.

Table 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Underpayments (millions of dollars)			
Due to recipient error	57.7	8.8	0.15
By control			
Public	34.5	5.7	0.17
Private	20.7	3.8	0.18
Proprietary	2.4	0.5	0.21
By type			
Four year	43.0	6.5	0.16
Two year	10.2	2.0	0.19
Other	4.5	0.8	0.19
By application			
BEOG	11.6	2.6	0.23
FAF	13.4	2.6	0.19
FFS	30.3	4.9	0.16
Other	2.5	0.6	0.25
Due to institutional error	7.6	1.7	0.22
By control			
Public	5.7	1.5	0.27
Private	0.6	0.5	0.84
Proprietary	1.3	0.4	0.28
By type			
Four year	2.4	0.2	0.34
Two year	4.3	1.2	0.28
Other	0.9	0.4	0.39
By application			
BEOG	3.0	0.8	0.26
FAF	1.4	0.6	0.44
FFS	3.1	1.1	0.34
Other	*	*	*

*Too few errors and applications to make estimates.

Table 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Average underpayment for those with Underpayments (dollars)			
Due to recipient error	267.5	16.6	0.06
By control			
Public	270	21	0.08
Private	274	32	0.12
Proprietary	193	32	0.17
By type			
Four year	270	20	0.07
Two year	246	24	0.10
Other	292	38	0.13
By application			
BEOG	249	31	0.12
FAF	244	31	0.13
FFS	282	21	0.08
Other	326	35	0.11
Due to institutional error	20.4	4.6	0.23
By control			
Public	17	5	0.27
Private	21	18	0.86
Proprietary	76	16	0.22
By type			
Four year	11	4	0.35
Two year	29	10	0.34
Other	50	20	0.40
By application			
BEOG	51	14	0.27
FAF	11	4	0.36
FFS	18	6	0.37
Other	*	*	*

*Too few errors and applications to make estimates.

Table 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Number of recipients (thousands)			
Due to recipient error	1,274	128	0.10
By control			
Public	898	86	0.10
Private	280	30	0.11
Proprietary	96	16	0.16
By type			
Four year	819	81	0.10
Two year	369	36	0.10
Other	87	13	0.14
By application			
BEOG	246	29	0.12
FAF	345	54	0.16
FFS	645	72	0.11
Other	37	9	0.23
Due to institutional error	1,209	125	0.10
By control			
Public	849	85	0.10
Private	266	29	0.11
Proprietary	94	16	0.17
By type			
Four year	775	79	0.10
Two year	349	35	0.10
Other	85	12	0.15
By application			
BEOG	226	29	0.13
FAF	337	54	0.16
FFS	610	70	0.12
Other	36	8	0.24

able 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Net Overpayment (or underpayment) (Millions of dollars)			
ue to recipient error			
By control	60.6	10.2	0.17
Public	42.0	7.9	0.19
Private	11.6	4.5	0.39
Proprietary	7.0	1.8	0.26
By type			
Four year	34.4	8.9	0.26
Two year	21.5	3.6	0.17
Other	4.7	2.0	0.43
By application			
BEOG	9.1	2.5	0.28
FAF	18.5	4.3	0.23
FFS	31.8	8.1	0.26
Other	1.3	0.7	0.53
ue to institutional error	51.6	8.3	0.16
By control			
Public	36.0	7.0	0.19
Private	12.8	2.2	0.17
Proprietary	2.9	2.3	0.82
By type			
Four year	35.4	5.5	0.16
Two year	12.1	3.7	0.31
Other	4.2	2.4	0.57
By application			
BEOG	8.8	4.6	0.52
FAF	15.9	3.2	0.21
FFS	27.0	5.2	0.19
Other	*	*	*

*Less than $1,000.000.

Table 1-10. Sampling errors for key recipient statistics

Statistic	Estimate	Standard error	Coefficient of variation
Average underpayment or overpayment (dollars)			
Due to recipient error	47.6	7.1	0.15
By control			
Public	46	8	0.17
Private	41	16	0.38
Proprietary	73	15	0.21
By type			
Four year	42	10	0.24
Two year	58	9	0.15
Other	54	20	0.37
By application			
BEOG	37	11	0.30
FAF	54	9	0.17
FFS	49	11	0.23
Other	35	10	0.30
Due to institutional error	42.7	6.4	0.15
By control			
Public	42	8	0.18
Private	48	8	0.16
Proprietary	31	24	0.79
By type			
Four year	46	7	0.16
Two year	35	11	0.32
Other	50	26	0.53
By application			
BEOG	39	18	0.47
FAF	47	8	0.18
FFS	44	9	0.19
Other	48	12	0.25

2. DATA PREPARATION

2.1 Schools

2.1.1 Initial Contact

Because of the small number (225) of institutions that were contacted, it was decided to monitor the school returns manually.

An introductory letter requesting cooperation in the study and a project summary sheet (Exhibits 2-1 and 2-2) were sent to the President and the Financial Aid Officer (FAO) of each school. Within a week of this mailing, an instruction letter (Exhibit 2-3) was sent to the FAO requesting a list of all students who submitted a valid SER for a payment of 1978-79 BEOG awards as of November 15, 1978, regardless of whether they were still enrolled. Copies of this instruction letter also were sent to school Presidents and to the school Registrar. The list included the students' name, social security number, and eligibility index. We also requested that the FAO and Registrar complete and return an enclosed card (Exhibit 2-4) designating a person to whom all inquiries could be directed. In addition, a project summary and a return envelope was enclosed with the letter.

Within a week after mailing the instruction letter, a telephone followup call was made to each institution to determine:

- If any problems were expected in preparing the list,
- When Westat could expect to receive the list,
- When a MACRO interview would be convenient and who should be contacted for the interview,

Exhibit 2-1. Introductory letter

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
BUREAU OF STUDENT FINANCIAL ASSISTANCE
WASHINGTON, D.C. 20202

October 20, 1978

The accuracy of student reported data under the BEOG program has been a source of increasing concern for both the financial aid community and the Office of Education. As part of our overall initiatives to improve the management of the BEOG program, the Bureau of Student Financial Assistance has initiated a comprehensive quality control study of the Basic Grant program to document, on a nationally representative basis, (a) any program wide error rates particularly as they relate to eligibility and payment determinations, (b) to determine probable causes for these errors, and (c) to identify possible corrective actions to help reduce or eliminate program errors. (A more detailed description of this study is enclosed) We expect that the results of this study will provide important information to help guide our efforts to improve the management of the program including the reduction of payment errors resulting from inaccurate student application data.

Your institution has been selected, as a result of random sampling procedures, for participation in this study. Involvement of your institution will be limited to interviews with key institutional staff directly responsible for the administration of the Basic Grant program, principally your financial aid officer. In addition, we plan to review financial aid records for a small sample of Basic Grant recipients as part of our data collection activity. Please be assured that we will make every effort to keep the response burden for this study to an absolute minimum. In this context, we will contact your financial aid officer in the near future to make more specific arrangements for this data collection phase.

At this time, I would like to ask for your institution's cooperation in the conduct of this study. I believe, and I am sure you agree, that we must make every effort to improve the management of this very important program and demonstrate our commitment to strengthen the public's confidence in the integrity of the Basic Grant program.

Sincerely,

Leo L. Kornfeld
Deputy Commissioner for
Student Financial Assistance

Enclosure

cc: Student Financial Aid Officer

Exhibit 2-2. Project summary sheet

Project Summary

Basic Educational Opportunity Grant Quality Control Study

(Additional information may be obtained from Dr. David Iwamoto, Chief, Statistical Analysis Branch, Division of Quality Assurance, Bureau of Student Financial Assistance, (202) 472-7177).

Introduction

Today, emphasis has been placed on reviewing rapidly expanding programs which are designed to disburse general revenues to specific individuals. Studies and evaluations on the performance of such programs have grown out of intense concern about the appropriateness of program disbursements as well as the efficiency and effectiveness of program activities.

Objectives of the Study

One such program, the Basic Educational Opportunity Grant (BEOG) program, has experienced an initial period of rapid expansion. Over the last five years, the number of recipients has increased tenfold, while the total funds disbursed has increased by a factor of 40. As in other Federal aid programs, this growth has been accompanied by numerous problems associated with the accuracy and consistency of program data and the program administration processes. And now that the system for aiding students has been securely established, DHEW/USOE officials are focusing increased attention on methods to measure and improve program performance, particularly the quality of data used in student eligibility and award determinations, the various associated data handling processes, and overall program administration.

With these concerns in mind, the Bureau of Student Financial Assistance (BSFA) is conducting a major quality control study of the BEOG program in terms of three major objectives:

- To reliably document the programwide error rates of the 1978-79 BEOG student program determinations, including eligibility, benefit amount, and payments.
- To gain insight into the specific types and probable causes of significant programwide error rates in such determinations, if any.
- To gain insight into actions which can effectively reduce or eliminate errors. Specifically, BSFA officials are interested in a management options analysis that will address the following issues:

Exhibit 2-2. Project summary sheet (continued)

- How can feasibility, cost, and effectiveness of corrective actions be most accurately determined?
- Which decisions, actions, and/or systems will most effectively reduce or eliminate BEOG program errors?
- Will proven methods of quality control such as sampling forms, revision, and verification be cost-effective in improving the accuracy of the BEOG program data and data processes?
- What type of program changes and systems may be required to maintain efficient and accurate BEOG program administration?

It is expected that the results of this study will be used to support the development of an ongoing, comprehensive quality control system.

Although USOE and other organizations (e.g., Student Financial Assistance Study Group, the National Task Force on Student Aid Problems, the General Accounting Office, DHEW Audit Agency, and others) have made considerable progress in identifying and analyzing error and abuse in the BEOG program, the BEOG Quality Control Study may be viewed as the culmination of these preliminary efforts, which so far have been less comprehensive in their attempts to address the problem of error and abuse in the BEOG program. Taking into consideration the numerous recommendations and actions which resulted from prior studies, the current study will take a fresh look at the problem of error and abuse patterns in the BEOG program, thus building upon previous knowledge to develop practical, effective solutions for improving data quality.

Procedures

This study is designed to verify students' financial aid. In order to achieve the study's objectives, three data sets will be collected and analyzed. The first is an institutional data set which will consist of a nationally representative sample of approximately 200 public, private and proprietary institutions. The Student Financial Assistance Officer at each institution will be interviewed and asked to describe the institution's BEOG processing procedures. There will be a mail survey of an additional 200 institutions to complement our data findings. In addition, a random sample of approximately 10 students will be selected at each institution, and their awards will be recomputed. This information will be analyzed to determine the frequency, nature, causes, and effects of any errors that may be occurring as a result of institutional procedures. If appropriate, the information will also be examined to determine alternatives that may be used to reduce or eliminate errors. Under existing regulations, information regarding a student's financial aid may be disclosed by the institutions, without written consent, through the student's educational records.

The second data set is a student data set. Students which are randomly selected at the institutions, or approximately 2,000 students, will be interviewed. These students will be asked to supply documents that verify certain information they reported on their application forms, and will also be asked about their general experiences in dealing with the applicant process.

Exhibit 2-2. Project summary sheet (continued)

The third data set is a parent data set. The parents of the students randomly selected at the institution, or the parents of approximately 2,000 students, will be interviewed. Parents of both independent and dependent students will be included. Like the students, parents will be asked to supply documents verifying the information that appears on the student application forms.

The results of student and parent interviews will be analyzed to determine the nature, frequency, causes, and effects of the errors on BEOG awards, as well as procedures that may be used to reduce or eliminate these errors.

In advance communication with students and at the time of their interview, participants will be reminded that they have signed an agreement to provide the required documents when they applied for their BEOG grant. They will also be reminded that their awards can and will be withheld if they do not cooperate. This action will be taken if students or the parents of dependent students fail or refuse to provide the requested documents. Student Financial Assistance Officers will be notified to withhold payments until the necessary cooperation is obtained.

Project Schedule

The final plans for the study are being prepared in August, 1978 with final preparations for data collection being made in September and October. The sample of institutions will be selected, and these institutions will be contacted in October. The interviews will begin in December and will be completed in February, 1979. Data from the interviews will be analyzed in March, April, and May, 1979. Reports of the results will be prepared and will be available in May, June, and July, 1979.

Project Management

The Bureau of Student Financial Assistance has awarded a contract to Westat, Inc. to provide assistance in performing this study. Westat, Inc. has awarded a subcontract to Macro Systems to provide additional assistance. Dr. David Iwamoto, Chief of the Statistical Analysis Branch of Quality Assurance Division of the Bureau of Student Financial Assistance, is in charge of the study and will monitor the contractor's efforts. Dr. Iwamoto will be assisted by Ms. Sylvia Cowan, Ms. Denise Friedman and Ms. Pat Morency of the Statistical Analysis Branch. Dr. Edward Bryant is Westat, Inc.'s Corporate Project Officer, with Dr. Donald Rogers from Westat serving as the overall project director, and Mr. Mike Errecart serving as the project director in charge of Macro Systems.

Sponsoring Agency

The Basic Educational Opportunity Grant Quality Control Study is being sponsored by the Statistical Analysis Branch of the Division of Quality Assurance, Bureau of Student Financial Assistance, U.S. Office of Education. Dr. David Iwamoto is the Chief of the Statistical Analysis Branch and Mr. Ernst Becker is the Director of the Quality Assurance Division. Mr. Leo Kornfeld is the Deputy Commissioner in charge of the Bureau of Student Financial Assistance.

Exhibit 2-3. Instruction letter

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
BUREAU OF STUDENT FINANCIAL ASSISTANCE
WASHINGTON, D.C. 20202

October 26, 1978

Dear Financial Aid Officer:

As you know, the Bureau of Student Financial Assistance, Division of Quality Assurance, is conducting a quality control study of the Basic Grant Program. The Division has awarded a contract to Westat, Inc., in association with Macro Systems, Inc., both of which will be responsible for the data collection and analysis. We have described the nature of this study in an earlier letter, addressed to the president of your institution, of which you received a copy.

In order to select a representative sample of BEOG recipients at your institution, we are requesting a list of all students who have submitted a valid SER for payment of 1978-79 BEOG awards as of November 15, 1978, regardless of whether they are still enrolled. This list should include the student's name, social security number and the student's eligibility index. We are also requesting that you complete and return the enclosed card designating a person to whom all inquiries may be directed.

A telephone call will be placed to the financial aid office in a few days to determine if there are any problems in complying with this request. If so, we are prepared to send a representative from our office to select the sample from your files. If there are questions regarding the nature of this request, you may call Ms. Dianne Walsh, who is the project coordinator for this sample, collect at (301) 881-0319 or you may call the Division of Quality Assurance, Statistical Analysis Branch, at (202) 472-7177 for additional information.

Under existing regulations, information regarding a student's financial assistance may be disclosed by the institutions, without written consent from the students and/or parents, through the student's records. Since this study certifies the information relevant to establishing eligibility for federal assistance, your institution is not in violation of existing laws and regulations by providing access to pertinent student records.

Exhibit 2-3. Instruction letter (continued)

The importance of this study is invaluable in helping us to maintain the integrity of the Basic Grant Program and ensuring that public funds are distributed on a fair and equitable basis. We would like to extend our appreciation for your assistance and continued support of the Basic Grant Program.

Sincerely,

Ernst Becker

Ernst Becker, Director
Division of Quality Assurance

Enclosures

cc: President
Registrar

Exhibit 2-4. Contact card - FAO and Registrar

CONTACT CARD FOR FINANCIAL AID OFFICE

Institution's Name ______________________________

Contact ____________________________________
(Last) (First)

Address ____________________________________
(#) (Street)

Bldg. ______________________________________
(Name) (Floor)

Telephone Number ______________________________

Title _______________________________________

Best time to call ______________________________

☐ If person is the same as the one to be contacted for institution interview, check box.

CONTACT CARD FOR REGISTRAR

Institution's Name ______________________________

Contact ____________________________________
(Last) (First)

Address ____________________________________
(#) (Street)

Bldg. ______________________________________
(Name) (Floor)

Telephone Number ______________________________

Title _______________________________________

Best time to call ______________________________

- Where the financial aid records for the institution were located,
- The beginning and end of the school term and the type of system used (quarter, semester, etc.), and
- Which administrative office would have the most current address information for the parents, and the telephone number of that office.

If the institution felt they could not provide this list within our time frame, we arranged for a field staff member to visit the institution to draw up the list and to select the sample from the school files. If we found during this phone conversation that the institutions did not receive any of the above letters, we remailed the letters to them. This information was recorded on the telephone contact sheet (Exhibit 2-5).

A folder was made for each school, and these folders were kept in ID number order (001-225). On the front of each folder, a list of expected activities was stamped (Exhibit 2-6). Each folder contained the telephone contact sheet, conversation sheets recording each school contact, any correspondence from the school including lists of students and SER's, and all sampling data. The date of the initial phone call and the date the list was to be expected from the school were both written on the front of the school file.

If the lists were not received within one week of the expected date, a second telephone followup call was made to determine if any other problems were being encountered and how we could assist school personnel with these problems. If the lists still were not being received after a reasonable amount of time following this second telephone call, a third telephone followup was made.

If the list was not received within two weeks after this third telephone contact, the name of the institution was forwarded to OE.

Exhibit 2-5. Telephone contact sheet

Basic Educational Opportunity Grant Quality Control Study

INSTITUTION CONTACT SHEET

Institution Name ______________________ Date ________ Time ________ P.M. A.M.

Location ______________________ Initiated by:

______________________ ( ) Westat

Designated Contact ______________________ ( ) MACRO

Telephone Number ______________________ ( ) Institution

Person Communicated With ______________________ Contact by:

Telephone Number ______________________ ( ) Letter

( ) Telephone

Interviewer Name ______________________ ( ) Visit

Nature of Other Contacts:
( ) Advance letter followup
( ) Appointment for Interview
( ) SER Request
( ) Other (explain below)

Outcome/Action:

Additional Followup Needed ( )

Exhibit 2-5. Telephone contact sheet (continued)

Westat, Inc.

Basic Educational Opportunity Grant Quality Control Study

TELEPHONE INTRODUCTION

Hello, my name is ______________________________. I'm calling from Westat Research, Rockville, Maryland. May I speak with

______________________________________.
Name of FAO on Contact Sheet

IF QUERIED ABOUT WHY: "It is in regard to a study that is currently being conducted by the U.S. Office of Education on the Basic Education Opportunity Grant Program. (Mr./Ms.) received a letter in regard to this call."

WHEN TALKING DIRECTLY WITH PERSON: "I believe you recently received a letter from Mr. Ernst Becker of the U.S. Office of Education concerning a study that is being conducted by the Basic Education Opportunity Grant Program."

ALLOW FOR AFFIRMATIVE RESPONSE: "The purpose of this call is to go over with you the information that will be necessary for us to select the respondents for the student and parent phase of the study and to identify the information we will need to obtain from you for the institutional interview. First, let me ask if you are the person to whom we should direct our questions?"

IF YES: Continue.

IF NO: "May I please have the name, title, address, and telephone number of this person?"

READ LETTER TO HIM/HER.

Exhibit 2-5. Telephone contact sheet (continued)

A-1. First, do you think you will be processing any more SERs during the next two weeks? By processing, we mean receiving SERs and calculating Basic Grant awards.

YES........................ 1 (A-2)

NO......................... 2 (A-3)

A-2. How many do you think you will be processing over the next two weeks? (PROBE FOR NUMBER)

LESS THAN THIRTY............ 1 (A-3)

THIRTY OR MORE.............. 2 (A-4)

DON'T KNOW.................. 3 (A-4)

A-3. Will you be able to provide by November 15th, a list of all BEOG applicants including the ones not yet processed and containing the:

	YES	NO	
1. Student's name,......................	( )	( )	(A-5)
2. Student's social security number or any other identification number assigned by the institution,.....	( )	( )	(A-5)
3. Student's eligibility index..........	( )	( )	(A-5)

IF RESPONSE IS YES TO ALL ITEMS ABOVE, STATE: "A return envelope has been provided for returning the list. This envelope can be attached to any size envelope or folder and the postage will be paid."

Exhibit 2-5. Telephone contact sheet (continued)

A-4. Regardless of the number of SERs still to be provided, we would like to receive, as soon as possible, a list of BEOG recipients. Will you be able to provide by November 22nd a list containing the:

	YES	NO	
1. Student's name,	( )	( )	(A-5)
2. Student's social security number or any other identification number assigned by the institution,	( )	( )	(A-5)
3. Student's eligibility index	( )	( )	(A-5)

IF RESPONSE IS YES TO ALL ITEMS ABOVE, STATE: "A return envelope has been provided for returning the list. This envelope can be attached to any size envelope or folder and the postage will be paid."

A-5. If you feel that our office could assist in expediting the time for producing this list, a field staff member can visit your office to assist you if you can identify how we may be of assistance. Would this enable the institution to provide the list any sooner?

YES........................ 1 (A-6)
NO......................... 2 (A-7)

A-6. What kind of assistance would you need?

Exhibit 2-5. Telephone contact sheet (continued)

A-7. Is there any time during the next three months when we will be unable to interview you because of an overly busy work schedule or vacation plans?

YES........................	1 (A-8)
NO.........................	2 (A-9)

A-8. What are the dates? (PROBE FOR REASON)

	DATES	REASON
1.		
2.		
3.		
4.		

A-9. We are interested in identifying all institutions that are branches of larger institutions and that do not maintain their own records on the campus. Where are the student financial aid records for this institution located? (CHECK THIS ADDRESS WITH THE ONE ON THE CONTACT SHEET.)

____

____

____

A-10. Is this institution on a semester, quarter, trimester, clock hour, or some other type of system?

Semester..................	1
Quarter...................	2
Trimester.................	3
Clock hour................	4
Other (SPECIFY) ____________ ______________________	5

Exhibit 2-5. Telephone contact sheet (continued)

A-11. What are the beginning and ending school dates of the present __________________ system? (RECORD BELOW UNDER PRESENT) And what about the next ____________________ that follows?

1. Present (fall) From __________ to __________
2. Next (winter) From __________ to __________

A-12. Which administrative office of the institution would have the most current address information for the parents of Basic Grant recipients? Is it the financial aid office, registrar, student services or some other office?

Financial Aid Office..................	1
Registrar.............................	2
Student Services......................	3
Other (SPECIFY) ______________________	4
Don't Know............................	5

A-13. Is there a central number that we could call to obtain the address and telephone number of a parent if the information we have is incorrect?

YES..[RECORD NUMBER] (___) ___________	1
NO..................................	2

A-14. I will be recontacting this office a few days after we receive the list of recipients to request a copy of SERs for those students who have been chosen to be included in the student/parent phase of the study. The number of copies requested should be between 10 and 20. Do you anticipate at this time any problems in providing these forms a week after that call?

YES..........................	1 (A-15)
NO...........................	2 (A-16)

Exhibit 2-5. Telephone contact sheet (continued)

A-15. IF YES, RECORD REASON WHY THEY CANNOT PROVIDE.

____

____

____

____

____

A-16. When an interviewer from MACRO Systems calls to establish an acceptable time for the interview, should this person contact you?

YES........................ 1 (Box 1)
NO......................... 2 (A-17)

A-17. Can you provide me with the name, address and telephone number of the person he/she should contact?

Name ______________________________

Address ______________________________

____

Telephone Number (   ) ____________________

BOX 1

CLOSING STATEMENT

I would like to thank you for your time and cooperation. We mentioned earlier that a staff member from MACRO Systems, who is working in conjunction with our office in conducting this study for the Bureau of Student Financial Assistance, will be contacting your office soon to arrange a convenient time for the institution interview.

Exhibit 2-6. List of expected activities

INITIAL PHONE CALL ____________________

LIST EXPECTED __________________________

LIST RECEIVED __________________________

PHONE CALL FOR SER's _________________

SER's RECEIVED _________________________

PARENT-STUDENT MAILOUT _______________

Westat provided the following information to MACRO:

- The name of the individual to be contacted at each institution and a convenient time for the interview,
- The names of the institutions they were to sample, and
- A list, from each institution, of the names and social security numbers of those students chosen to be included in the study.

Westat also provided OE with a schedule of interviews that MACRO arranged with the institution.

2.1.2 Receipt Control

The purpose of the receipt control system was to monitor all responses that arrived at the home office. This included maintaining control over the home office processing. The receipt control supervisor ensured that all responses were entered into the proper file and that the proper followup activities were expeditiously performed for those responses that required them.

a. Sample Lists/Sampling Technique

We expected to receive lists from the schools within two weeks after receiving the introductory letters and one week after Westat's telephone contact. These lists contained the names, social security numbers and eligibility indexes of all students receiving a BEOG.

The lists arrived in Westat's postage-paid envelope with the project number written on it. Making sure that all parts of the list were fastened together, the receipt control clerk assigned the Institutional Identification Number to the list and placed it in the school folder. The clerk then recorded the date the list was received on the front of the folder.

The receipt control staff sampled students from the lists according to the sampling formula for that school. The sampling was verified by the receipt control supervisor/assistant supervisor and the sampling sheet (Exhibits 2-7 and 2-8) with the school name and the sampling clerk's initials was enclosed in the school file. The receipt control supervisor then called the FAO at the school and told him/her which students were sampled. At this time, the school forwarded a copy of the sampled student's SER, current address, and phone number. The parent address and phone information also was forwarded when it became available.

The supervisor returned the lists to the school file and recorded the date of the SER request telephone call in the appropriate space on the school folder.

If the SER's were not received after a reasonable length of time, the supervisor made a second call.

b. Receipt of the SER's

When the package of SER's was received from the institution, the receipt control clerk logged the receipt date on the school folder and placed the SER's in this folder. The receipt control supervisor scanned the school folders daily for receipt of SER's. When the SER's from a school were received, the

Exhibit 2-7. Sampling sheet - Table I

Table I. Selecting the sample of grantees (more than 250 grantees).

School ______________________ Checked by ______________________

Selected by __________________

STEP I	
1. Number of grantees	
2. Expected number of grantees in the final sample	
3. Expected number of preliminary sample grantees to be picked (2) x 10	**STEP II**
4. Preliminary sampling interval (1) / (3)	1. Order selected grantees by eligibility index
5. Random start Read from Table A 1st column	2. Random start 2nd column
6. Next random cumulant (4) + (5)	3. Select every 10th thereafter (3) + 10
7. Next random cumulant (4) + (6)	4. Next random cumulant (3) + 10
8. Next random cumulant (4) + (7)	etc.
etc.	

Exhibit 2-8. Sampling sheet - Table II

Table II. Selecting the sample grantees (less than 250 grantees)

School ____________________ Checked by ____________________

Selected by ________________

Order the grantees by eligibility index

1. Number of grantees		
2. Expected number of grantees to be picked		
3. Sampling interval (1) / (3)		
4. Random start		
5. Next random cumulant (4) + (3)		
6. Next random cumulant (5) + (3)		

assistant supervisor pulled the SER's and assigned ID numbers to the students and their parents. He/she then wrote the ID, name, address, phone number and social security number on the preliminary ID log. After keypunching and verification, the cards generated were added to the Survey Control File. The SER's remained in the school folder.

c. Assigning ID Numbers

For each student sampled from a school list, there were two respondents: the student and the student's parent. They were interviewed separately, and there was one questionnaire for each respondent. For field purposes, there was no link between the students and parents, but for editing and analysis the parent and student questionnaires had to be paired. The ID number was the link: except for the respondent type and the site number, the parent and student had the same ID number. This enabled us to match pairs during receipt control and editing, and to divide the pairs for field interviewing if the parents and students did not live in the same sites.

The ID number was divided into four parts (see Exhibit 2-9). The first three digits of the ID corresponded to the school ID. The next two digits were the student sample number (the first, second, third, etc., student sampled from the school list of Basic Grant recipients). The next digit was the respondent type. This digit was a "1" if the respondents were independent students, a "2" if they were dependent students, a "3" if they were independent parents, and a "4" if they were dependent parents.

Exhibit 2-9. Sample ID number

THE ID NUMBER

139 04 3 1

139	04	3	1
School ID	Student Sample Number	Respondent (1-4)	Site Number (1-6)

The final digit was the site number. We assigned students and parents to the site they resided in. Students and parents living out of the country were assigned to the site of the school.

From the ID number, name, address, and SER values to be coded at this time, we were able to generate log pages for the receipt control log (Exhibit 2-10) and the internal control log (Exhibit 2-11). We also were able to generate labels used for mailing the advance letters, for questionnaires and for site monitoring activities. Depending on their use, the labels contained either ID, name, address and telephone of ID and name only, as shown here:

139 10 4 1

John R. Adams
1134 Keystone Ave.
Philadelphia, PA

33101 (305) 431-0111

or

139 10 4 1

John R. Adams

Exhibit 2-10. Receipt control log

```
*****************************************************************************************************************
* 01/17/79                      BASIC EDUCATIONAL OPPORTUNITY GRANT STUDY - TASK I                     PAGE:  18 *
*                                                                                                                *
*                                              RECEIPT CONTROL LOG                                               *
* (CONTINUED)                                                                                                    *
*-------------------------------------------------------------------------------------------------------------*
*SCHOOL: 093 SITE: 2 PHONE: (    )    -     |        |           |                            |DISPOSITION|                 *
*UNIVERSITY OF MINN-MINNEAPOLIS             |  DATE  |  INITIAL  |    NAME,  ADDRESS,  OR     |   CODE    |                 *
*107 ARMORY,15 CHURCH ST SE                 |RECEIVED|DISPOSITION|    TELEPHONE    UPDATE    |  UPDATE   |  C O M M E N T S *
*MINNEAPOLIS                      MN 55455  |        |   CODE    |                            |           |                 *
*TYPE: 1  CONTROL: 1  SIZE: 4  DISTRIB: R   |        |           |                            |           |                 *
*-------------------------------------------------------------------------------------------------------------*
*     ID: 093 18 5 2                        |        |           |                            |           |                 *
*                                           |        |           |                            |           |                 *
*EDINA                            MN 55410  |        |           |                            |           |                 *
*PHONE: (   )    -                          |        |           |                            |           |                 *
*-------------------------------------------------------------------------------------------------------------*
*     ID: 093 18 6 2                        |        |           |                            |           |                 *
*                                           |        |           |                            |           |                 *
*DES MOINES.                      IA 50310  |        |           |                            |           |                 *
*PHONE: (   )    -                     -  - |        |           |                            |           |                 *
*-------------------------------------------------------------------------------------------------------------*
*     ID: 093 19 5 1                        |        |           |                            |           |                 *
*                                           |        |           |                            |           |                 *
*HONOLULU                         HI 96826  |        |           |                            |           |                 *
*PHONE:                                     |        |           |                            |           |                 *
*-------------------------------------------------------------------------------------------------------------*
*     ID: 093 19 6 1                        |        |           |                            |           |                 *
*                                           |        |           |                            |           |                 *
*HONOLULU                         HI 96826  |        |           |                            |           |                 *
*PHONE:                                -  - |        |           |                            |           |                 *
*-------------------------------------------------------------------------------------------------------------*
*     ID: 093 20 5 2                        |        |           |                            |           |                 *
*                                           |        |           |                            |           |                 *
*MINNEAPOLIS                      MN 55406  |        |           |                            |           |                 *
*PHONE:                                     |        |           |                            |           |                 *
*-------------------------------------------------------------------------------------------------------------*
*     ID: 093 20 6 2                        |        |           |                            |           |                 *
*                                           |        |           |                            |           |                 *
*MINNEAPOLIS                      MN 55406  |        |           |                            |           |                 *
*PHONE:                                -  - |        |           |                            |           |                 *
*-------------------------------------------------------------------------------------------------------------*
```

PERSONAL IDENTIFYING
INFORMATION DELETED

Exhibit 2-11. Internal control log

```
*******************************************************************************************************************
* 02/08/79                         BASIC EDUCATIONAL OPPORTUNITY GRANT STUDY - TASK I                  PAGE:   12 *
*                                                                                                                 *
*                                              INTERNAL CONTROL LOG                                               *
* (CONTINUED)                                                                                                     *
*-----------------------------------------------------------------------------------------------------------------*
* SCHOOL: 083  SITE: 4 |     INITIAL     |               |                 |                 |       |    |    |                   *
*                      | FOLLOW-UP CODE  |  EDIT / CODE  | EDIT/FOLLOW-UP  |    2ND  EDIT    | FINAL | TO | FR | C O M M E N T S : *
* WAYNE STATE UNIVERSIT|-----------------------------------------------------------------------|       | KP | KP |                   *
* Y                    |DATE|INIT.|I F U|DATE|INIT.|KP/FU|DATE|INIT.|COMP.|DATE|INIT.|KP/FU|       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 22 4 3           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 23 2 4           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 23 4 4           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 24 2 4           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 24 4 4           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 25 5 4           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 25 6 4           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 26 5 4           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
* 083 26 6 4           |    |     |     |    |     |     |    |     |     |    |     |     |       |    |    |                   *
*-----------------------------------------------------------------------------------------------------------------*
```

PERSONAL IDENTIFYING INFORMATION DELETED

2.2 Students/Parents

2.2.1 Mail to Students/Parents

When the labels were produced, a package was mailed to the students and the parents if we had their addresses. The package to the student (Exhibit 2-12) included a letter, a question-and-answer page, a list of documents needed for the interview, a card on which the student could write her/his current name and address information (this card contained the student's ID and was returned to Westat), an IRS request form, and a Westat postage-paid envelope.

The parent package (Exhibit 2-13) was mailed at the same time if we had the parent's complete address information. The package included a cover letter, a question-and-answer page, a list of documents needed for the interview, a card (with the parent's ID) to return with his/her current address information, an IRS request form, and a Westat postage-paid envelope. The package was assembled and the label was affixed to the outside envelope. The supervisor spot-checked the packages to see that they contained all the appropriate items. The packages then were sealed and sent to the mailroom.

a. Receipt of Corrected Addresses or PMR's

If an advance letter came back to Westat as a Postmaster Return (PMR), we assumed our address information was incorrect. The PMR response was logged into the comments section of the receipt control log. Westat attempted to obtain the new address, first from the information operator and finally from the school or by calling the student or parent directly. The correct address

Exhibit 2-12. Student package: address update card

(PLEASE PRINT)

NAME ______________________________
FIRST LAST INITIAL

ADDRESS ______________________________
STREET NUMBER APT #

____
CITY ZIP CODE

TELEPHONE # ______________
(AREA CODE)

OFFICE USE:

DATE RECEIVED ______________

Exhibit 2-12. Student package: letter to independent students (continued)

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
BUREAU OF STUDENT FINANCIAL ASSISTANCE
WASHINGTON, D.C. 20202

December 8, 1978

Dear Student:

According to our records, you are receiving a Basic Educational Opportunity Grant (BEOG) to assist you in meeting the costs of your education. The Bureau of Student Financial Assistance, which administers the BEOG Program, is currently conducting a certification study to collect information to determine the types and frequency of errors being made on financial aid applications, why they are being made, and to determine ways in which the program may be improved.

As a result of random sampling procedures, you and your parents have been selected to participate in this project. Your participation will involve an interview in which you will be asked questions about the application process and the information you provided, including any problems you might have had in filling out the application. You will also be requested to show certain financial records to verify the information submitted on your grant application. A list of the records the interviewer will ask to see is attached to this letter (DOCUMENTS TO BE REVIEWED). After the interview we will discuss our findings with you, and if there are any errors we will tell you the procedures for correcting them.

We would like to remind you that the certification of information on the application is mandatory. The processing of your application was contingent upon your signature on the certification statement on the application. The signed statement acknowledges your agreement to provide any documentation, if requested, including a copy of your tax return, necessary to verify information reported on your application form. Failure to supply requested information can result in termination of funds. This study is being conducted according to the regulations and provisions of the Privacy Act. The interviewer will provide you with further details during the interview.

We have contracted with Westat, Inc., a social science research firm based in Rockville, MD, to assist us in conducting this study. One of Westat's staff members will be contacting you within the next few weeks to establish a convenient time for the interview. If your address is different from the one to which this letter was mailed, or if your telephone number has recently changed, please fill out the enclosed telephone/address change card and return it to us as soon as possible in the preaddressed envelope that we have enclosed.

Exhibit 2-12. Student package: letter to independent students (continued)

At the time of the interview, we will also need a copy of your 1977 IRS 1040 or 1040A tax form, with any supporting schedules you used at the time of filing. If you have filed but do not have a copy of this form, one copy can be obtained by completing the attached IRS 4506 form, "Request for Copy of Tax Form," and returning it in the enclosed envelope to our office, along with the telephone number/address change form. We will submit the form to the correct tax office you have designated, will have the copy mailed directly to you, and will pay the necessary charge for obtaining the copy.

If you have any questions, you may save them until you are called by the interviewer or you may call us collect. The BEOG information number for this project is (301) 881-0319.

Sincerely,

Ernst Becker

Ernst Becker, Director
Division of Quality Assurance

Exhibit 2-12. Student package: list of documents to be reviewed, for independent students (continued)

DOCUMENTS TO BE REVIEWED

In preparation for your interview with a Westat staff member, we would like you to begin assembling the documents listed below that are appropriate for you (and your spouse, if appropriate).

1. Income Tax Forms (Form 1040 or 1040A) and supporting schedules. If married students filed separate forms, both should request copies of forms.
2. Birth certificate, passport, or (if applicable) information such as Form 1-151 (Alien Registration Receipt Card) or Immigration and Naturalization Service Approval notice certifying that you are a resident alien.
3. Lease agreement or mortgage statement documenting residence.
4. Evidence of attendance of family members at postsecondary institutions such as registration receipts, enrollment notices, or report cards.
5. Social security form 2458 documenting assistance or educational benefits (if appropriate).
6. Veterans administration award letter documenting assistance or educational benefits (if appropriate).
7. Cancelled checks for unreimbursed elementary or secondary tuition (if appropriate). This should include payment for laboratory fees, enrollment deposits or other required payments for which you have not or will not be reimbursed.
8. Tax assessment or fire insurance policy indicating home value, business and/or farm value (if appropriate).
9. Statement of real estate, business, or farm debts (if appropriate).
10. Copies of bank statements showing balances of all checking and savings accounts at the time you submitted application.

Exhibit 2-12. Student package: letter to dependent students (continued)

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
BUREAU OF STUDENT FINANCIAL ASSISTANCE
WASHINGTON, D.C. 20202

December 8, 1978

Dear Student:

According to our records, you are receiving a Basic Educational Opportunity Grant (BEOG) to assist you in meeting the costs of your education. The Bureau of Student Financial Assistance, which administers the BEOG Program, is currently conducting a certification study to collect information to determine the types and frequency of errors being made on financial aid applications, why they are being made, and to determine ways in which the program may be improved.

As a result of random sampling procedures, you and your parents have been selected to participate in this project. Your participation will involve an interview in which you will be asked questions about the application process and the information you provided, including any problems you might have had in filling out the application. You will also be requested to show certain financial records to verify the information submitted on your grant application. A list of the records the interviewer will ask to see is attached to this letter (DOCUMENTS TO BE REVIEWED). After the interview we will discuss our findings with you, and if there are any errors we will tell you the procedures for correcting them.

We would like to remind you that the certification of information on the application is mandatory. The processing of your application was contingent upon your signature on the certification statement on the application. The signed statement acknowledges your agreement to provide any documentation, if requested, including a copy of your tax return, necessary to verify information reported on your application form. Failure to supply requested information can result in termination of funds. This study is being conducted according to the regulations and provisions of the Privacy Act. The interviewer will provide you with further details during the interview.

We have contracted with Westat, Inc., a social science research firm based in Rockville, MD, to assist us in conducting this study. One of Westat's staff members will be contacting you within the next few weeks to establish a convenient time for the interview. If your address is different from the one to which this letter was mailed, or if your telephone number has recently changed, please fill out the enclosed telephone/address change card and return it to us as soon as possible in the preaddressed envelope that we have enclosed.

Exhibit 2-12. Student package: letter to dependent students (continued)

If you have any questions, you may save them until you are called by the interviewer or you may call us collect. The BEOG information number for this project is (301) 881-0319.

Sincerely,

Ernst Becker

Ernst Becker, Director
Division of Quality Assurance

Exhibit 2-12. Student package: list of documents to be reviewed, for dependent student (continued)

DOCUMENTS TO BE REVIEWED

In preparation for your interview with a Westat staff member, we would like you to begin assembling the documents listed below that are appropriate for you.

1. Birth certificate, passport, or (if applicable) information such as Form 1-151 (Alien Registration Receipt Card) or Immigration and Naturalization Service Approval notice certifying that you are a resident alien.
2. Social security form 2458 documenting assistance or educational benefits (if appropriate).
3. Veterans administration award letter documenting assistance or educational benefits (if appropriate).
4. Copies of bank statements showing balances of all your checking and savings accounts at time you submitted application.

Exhibit 2-12. Student package: IRS request form (continued)

Form **4506**
(Rev. February 1978)

Department of the Treasury — Internal Revenue Service

Request for Copy of Tax Form

(Please read the instructions on the back of this form before you complete it.)

Name and address of taxpayers as shown on tax form	Requester's telephone number	Document locator number *(if known)*
	Taxpayer's social security number	Kind of tax *(income, estate, excise, gift, etc.)* Income
Current address if different from above	Spouse's social security number	Tax form number 1040 or 1040A
Mail copies to:	Employer identification number	Tax period ended 12/31/77
	Internal Revenue Service office where tax form was filed	
Do you want copies of all pages and attachments? ☒ Yes ☐ No	How many copies of each page requested do you want? One	

If no, do you want copies of ☐ Page 1 only? ☐ Schedules only? ☐ Other?

If you check "Other," please specify what copies you want.

If you are requesting certification, please check here. ☐ *(See instructions on back.)*

The billing for this request should be sent to: ➡

WESTAT, INC.
11600 NEBEL STREET
ROCKVILLE, MD 20852
TELEPHONE: 301-881-5310
ATT: JAMES HICKS
REFERENCE: Letters addressed to IRS Center Director, 10/4/78 and 11/2/78.

Signature of taxpayer *(or requester)*	Signature of person attesting, if corporate return *(See instructions on back.)*	Date

Form 4506 (Rev. 2-78)

Exhibit 2-12. Student package: IRS request form (continued)

Instructions

Please prepare a separate Form 4506 for each request and send to the Internal Revenue Service office where the tax form was filed. The service center addresses appear on this page.

If you are not the taxpayer named on the copy of the tax form requested, please enclose a copy of your authorization to receive this material; this will be a power of attorney, tax information authorization or, if the taxpayer is deceased, a certified copy of your letters of administration or testamentary. If more than a year has passed since the letters of administration or testamentary were issued, you must also send a certification by the clerk of the court stating that the letters are still in effect.

If you request a copy of a corporation return, the request must be signed by a principal officer and witnessed by another officer or the secretary, under corporate seal if any.

A corporation return may be inspected by or disclosed to any of the following:

(1) a person designated by the corporation's board of directors;

(2) any officer or employee of the corporation who presents a written request signed by any principal officer and witnessed by the secretary;

(3) any bona fide shareholder who owns 1 percent or more of the outstanding stock of the corporation;

(4) if the corporation was a foreign personal holding company under section 552, any person who was a shareholder during any part of a period covered by the return if for any part of that period the shareholder was required under section 551 to include in gross income undistributed foreign personal holding company income from the corporation;

(5) if the corporation was an electing small business corporation under subchapter S of Chapter 1, any person who was a shareholder during any part of the period covered by the return during which an election was in effect; or

(6) if the corporation has been dissolved, any person authorized by applicable State law to act for the corporation or any person who the Secretary finds to have a material interest which will be affected by information contained on the return.

The basic rate for reproduction of a completed tax form or other document is $1 for one page and 10 cents for each additional page. Unless certification is requested, only pages on which an entry appears will be copied.

If you request copies for judicial or administrative proceedings and if it is necessary that the form be formally certified under seal, the cost of certification is $1 regardless of the number of pages.

Please do not attach payment to this request—a bill will be enclosed with the copies sent to you.

Service Center Addresses

Alabama—Atlanta, GA 31101
Alaska—Ogden, UT 84201
Arizona—Ogden, UT 84201
Arkansas—Austin, TX 73301
California—Fresno, CA 93888
Colorado—Ogden, UT 84201
Connecticut—Andover, MA 05501
Delaware—Philadelphia, PA 19255
District of Columbia—Philadelphia, PA 19255
Florida—Atlanta, GA 31101
Georgia—Atlanta, GA 31101
Hawaii—Fresno, CA 93888
Idaho—Ogden, UT 84201
Illinois—Kansas City, MO 64999
Indiana—Memphis, TN 37501
Iowa—Kansas City, MO 64999
Kansas—Austin, TX 73301
Kentucky—Memphis, TN 37501
Louisiana—Austin, TX 73301
Maine—Andover, MA 05501
Maryland—Philadelphia, PA 19255
Massachusetts—Andover, MA 05501
Michigan—Cincinnati, OH 45999
Minnesota—Ogden, UT 84201
Mississippi—Atlanta, GA 31101
Missouri—Kansas City, MO 64999
Montana—Ogden, UT 84201
Nebraska—Ogden, UT 84201
Nevada—Ogden, UT 84201
New Hampshire—Andover, MA 05501
New Jersey—Holtsville, NY 00501
New Mexico—Austin, TX 73301
New York
  New York City and Counties of Nassau, Rockland, Suffolk and Westchester—Holtsville, NY 00501
  All Other Counties—Andover, MA 05501
North Carolina—Memphis, TN 37501
North Dakota—Ogden, UT 84201
Ohio—Cincinnati, OH 45999
Oklahoma—Austin, TX 73301
Oregon—Ogden, UT 84201
Pennsylvania—Philadelphia, PA 19255
Rhode Island—Andover, MA 05501
South Carolina—Atlanta, GA 31101
South Dakota—Ogden, UT 84201
Tennessee—Memphis, TN 37501
Texas—Austin, TX 73301
Utah—Ogden, UT 84201
Vermont—Andover, MA 05501
Virginia—Memphis, TN 37501
Washington—Ogden, UT 84201
West Virginia—Memphis, TN 37501
Wisconsin—Kansas City, MO 64999
Wyoming—Ogden, UT 84201

Form 4506 (Rev. 2-78)

Exhibit 2-12. Student package: question-and-answer page (continued)

- WHO IS CONDUCTING THE STUDY?

This Basic Educational Opportunity Grant Study is being conducted by the Quality Assurance Division of the U.S. Office of Education. Westat, Inc., a social science research firm located in Rockville, MD is under contract to the Office of Education to conduct the survey interviews.

- WHY IS THE STUDY BEING CONDUCTED?

The information is being collected to determine the types of errors being made on financial aid applications, why they are being made, and to recommend appropriate corrective action.

- WHY WAS I CHOSEN TO PARTICIPATE?

Student names and those of parents were randomly drawn from institutional records of those students receiving Basic Educational Opportunity Grants. Your name was one of those chosen.

- AM I REQUIRED TO PARTICIPATE?

The authority for collecting the requested information is in section 411(b)(2) of Title IV-A-1 of the Higher Education Act of 1965 as amended (20 U.S.C. 1070a(b)(2)). A condition of receiving a BEOG grant is that an applicant provide relevant supportive information to Federal officials or their authorized representatives to verify application information (45 CFR 190.12). Thus, it is mandatory that a BEOG recipient and his/her parents or guardians who signed the BASIC EDUCATIONAL OPPORTUNITY GRANT APPLICATION provide the requested documentation. Failure to provide the information may result in loss of payments.

- HOW WILL I RECOGNIZE THE INTERVIEWER?

Prior to making personal contact at your household the interviewer will attempt to reach you by telephone (if a number can be obtained). At that time he/she will go over the list of documents, set up a time for the interview, and tell you about the identification he/she will be carrying. In general, all Westat interviewers carry photo identification cards with appropriate identifying information.

- WHAT WILL BE DONE WITH THE INFORMATION?

The primary purpose of the study is to obtain information that may be used to improve the operation of the BEOG program. However, this information will become part of an existing BEOG System of Records and the findings may result in a correction to the Student Eligibility Report (SER). Other possible uses include the routine uses of records as defined in Appendix B to 45 code of Federal Regulations Part 5b.

- WHO DO I NOTIFY IF I CAN'T PROVIDE ANY OF THE ITEMS ON THE LIST OF "DOCUMENTS TO BE REVIEWED"?

As mentioned above, as part of the certification process when you signed the application, you agreed to provide any documents necessary to verify information reported in that form. If you encounter any difficulty locating or obtaining copies of forms from various agencies, inform the interviewer of your situation when he/she contacts you.

- HOW DO I OBTAIN A COPY OF MY 1040 FORM WITH SUPPORTING SCHEDULES?

If you do not have a copy of your 1977 1040 tax form with any supporting schedules you submitted at the time of filing (A through F), you can request a copy of your 1040 form by completing the enclosed IRS form 4506, "Request for Copy, Tax Form," and return it in the envelope provided. When completing the form be sure to enter the appropriate information in each area.

You can only request a copy of the form from the center where you filed your 1977 tax form. If you resided at that time in a state different from the one in which you currently reside, you must then request it from the state of residency in 1977. On the reverse side of the form you will find additional information for completing the form. The Division of Quality Assurance will pay any processing charges.

- WHERE DO I FIND THE ADDRESS OF THE REQUIRED SERVICE CENTER TO NOTE THE OFFICE FROM WHICH I SHOULD REQUEST THE FORM?

On the reverse side of the enclosed 4506 form you will find a list of service centers from which to request a copy of the form. Enter the state information for the center in the space marked "Internal Revenue Service Office where tax form was filed" on the front side of the enclosed form 4506.

- AM I REQUIRED TO ANSWER ALL QUESTIONS THE INTERVIEWER ASKS?

While you are not required to answer the questions in Section A, this section gives the Office of Education valuable information about the application process. Section B contains the required verification of information reported on the application.

Parents of independent students, however, are not obligated to answer any of the questions, but their participation is vital to the success of the study.

Exhibit 2-13. Parent package: address update card

(PLEASE PRINT)

NAME ____
FIRST LAST INITIAL

ADDRESS ____
STREET NUMBER APT #

____
CITY ZIP CODE

TELEPHONE # ________________________
(AREA CODE)

OFFICE USE:

DATE RECEIVED ________________________

Exhibit 2-13. Parent package: letter to independent parents (continued)

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
BUREAU OF STUDENT FINANCIAL ASSISTANCE
WASHINGTON, D.C. 20202

December 8, 1978

Dear Parent:

According to our records, you are the parent of a student who is currently receiving a Basic Educational Opportunity Grant (BEOG) to assist in meeting educational costs. The Bureau of Student Financial Assistance of the Office of Education is conducting a certification study of the Basic Grant Program. This certification study is being performed to collect information to determine the types and frequency of errors being made on financial aid applications, why they are being made, and to determine ways in which the program may be improved.

As a result of random sampling procedures, you and your child have been selected to participate in this project. Because you are the parent of a student who has filed as a financially independent student, we would like your cooperation in verifying information on the application relating to dependency status. Although your participation is voluntary, we would very much appreciate your cooperation in helping us improve the operation of the BEOG program.

In order to verify this information, we will need at the time of the interview a copy of your 1977 IRS 1040 or 1040A tax form, with any supporting schedules you used when you filed. If you have filed but do not have a copy of this form, one copy can be obtained by completing the attached IRS 4506 form, "Request for Copy of Tax Form," and returning it in the enclosed envelope to our office. We will submit the form to the correct tax office you have designated, will have the copy mailed directly to you, and will pay the necessary charge for obtaining the copy.

We have contracted with Westat, Inc., a social science research firm based in Rockville, MD, to assist us in conducting this study. One of Westat's staff members will be contacting you within the next few weeks to establish a convenient time for the interview. If your address is different from the one to which this letter was mailed, or if your telephone number has recently changed, please fill out the enclosed telephone/address change card and return it to us as soon as possible in the pre-addressed envelope that we have enclosed.

If you have any questions, you may save them until you are called by the interviewer or you may call us collect. The BEOG information number for this project is (301) 881-0319.

Sincerely,

Ernst Becker

Ernst Becker, Director
Division of Quality Assurance

Exhibit 2-13. Parent package: letter to dependent parents

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
BUREAU OF STUDENT FINANCIAL ASSISTANCE
WASHINGTON, D.C. 20202

December 8, 1978

Dear Parent:

According to our records, you are the parent of a student who is currently receiving a Basic Educational Opportunity Grant (BEOG) to assist in meeting educational costs. The Bureau of Student Financial Assistance of the Office of Education is conducting a certification study of the Basic Grant Program. This certification study is being performed to collect information to determine the types and frequency of errors being made on financial aid applications, why they are being made, and to determine ways in which the program may be improved.

As a result of random sampling procedures, you and your child have been selected to participate in this project. Your participation will involve an interview during which you will be asked questions about the application process and the information you provided, including any problems you might have had in filling out the application. You will also be requested to show certain financial records to verify the information submitted on the grant application. A list of the records the interviewer will ask to see is attached to this letter (DOCUMENTS TO BE REVIEWED). After the interview we will discuss our findings with you, and if there are any errors we will tell you the procedures for correcting them.

We would like to remind you that the certification of information on the application is mandatory. The processing of your application was contingent upon your signature on the certification statement on the application. The signed statement acknowledges your agreement to provide any documentation, if requested, including a copy of your tax return, necessary to verify information reported on your application form. Failure to supply requested information can result in termination of funds. This study is being conducted according to the regulations and provisions of the Privacy Act. The interviewer will provide you with further details during the interview.

We have contracted with Westat, Inc., a social science research firm based in Rockville, MD, to assist us in conducting this study. One of Westat's staff members will be contacting you within the next few weeks to establish a convenient time for the interview. If your address is different from the one to which this letter was mailed, or if your telephone number has recently changed, please fill out the enclosed telephone/address change card and return it to us as soon as possible in the preaddressed envelope that we have enclosed.

Exhibit 2-13. Parent package: letter to dependent parents (continued)

At the time of the interview, we will also need a copy of your 1977 IRS 1040 or 1040 A tax form, with any supporting schedules you used at the time of filing. If you have filed but do not have a copy of this form, one copy can be obtained by completing the attached IRS 4506 form, "Request for Copy of Tax Form," and returning it in the enclosed envelope to our office along with the telephone number/address change form. We will submit the form to the correct tax office you have designated, will have the copy mailed directly to you, and will pay the necessary charge for obtaining the copy.

If you have any questions, you may save them until you are called by the interviewer or you may call us collect. The BEOG information number for this project is (301) 881-0319.

Sincerely,

Ernst Becker

Ernst Becker, Director
Division of Quality Assurance

Exhibit 2-13. Parent package: list of documents to be reviewed for dependent parents

DOCUMENTS TO BE REVIEWED

In preparation for your interview with a Westat staff member, we would like you to begin assembling the documents listed below that are appropriate for you (and your spouse, if appropriate).

1. Income Tax Forms (Form 1040 or 1040A) and supporting schedules. If parents filed separate forms, both should request copies of forms.
2. Lease agreement or mortgage statement documenting residence.
3. Evidence of attendance of family members at postsecondary institutions such as registration receipts, enrollment notices, or report cards.
4. Social security form 2458 documenting assistance or educational benefits (if appropriate).
5. Veterans administration award letter documenting assistance or educational benefits (if appropriate).
6. Cancelled checks for unreimbursed elementary or secondary tuition (if appropriate). This should include payment for laboratory fees, enrollment deposits or other required payments for which you have not or will not be reimbursed.
7. Tax assessment or fire insurance policy indicating home value, business and/or farm value (if appropriate).
8. Statement of real estate, business, or farm debts (if applicable).
9. Public assistance award letter (if appropriate).
10. Copies of bank statement showing balances of all checking and savings accounts during the time you submitted application.

Exhibit 2-13. Parent package: IRS request form (continued)

Form **4506**
(Rev. February 1978)

Department of the Treasury — Internal Revenue Service

Request for Copy of Tax Form

(Please read the instructions on the back of this form before you complete it.)

Name and address of taxpayers as shown on tax form	Requester's telephone number	Document locator number *(if known)*
	Taxpayer's social security number	Kind of tax *(income, estate, excise, gift, etc.)* Income
Current address if different from above	Spouse's social security number	Tax form number 1040 or 1040A
Mail copies to:	Employer identification number	Tax period ended 12/31/77
	Internal Revenue Service office where tax form was filed	
Do you want copies of all pages and attachments? ☒ Yes ☐ No	How many copies of each page requested do you want? One	

If no, do you want copies of ☐ Page 1 only? ☐ Schedules only? ☐ Other?

If you check "Other," please specify what copies you want.

If you are requesting certification, please check here. ☐ *(See instructions on back.)*

The billing for this request should be sent to:

WESTAT, INC.
11600 NEBEL STREET
ROCKVILLE, MD 20852
TELEPHONE: 301-881-5310
ATT: JAMES HICKS
REFERENCE: Letters addressed to IRS Center Director, 10/4/78 and 11/2/78.

Signature of taxpayer *(or requester)*	Signature of person attesting, if corporate return *(See instructions on back.)*	Date

Exhibit 2-13. Parent package: IRS request form (continued)

Instructions

Please prepare a separate Form 4506 for each request and send to the Internal Revenue Service office where the tax form was filed. The service center addresses appear on this page.

If you are not the taxpayer named on the copy of the tax form requested, please enclose a copy of your authorization to receive this material; this will be a power of attorney, tax information authorization or, if the taxpayer is deceased, a certified copy of your letters of administration or testamentary. If more than a year has passed since the letters of administration or testamentary were issued, you must also send a certification by the clerk of the court stating that the letters are still in effect.

If you request a copy of a corporation return, the request must be signed by a principal officer and witnessed by another officer or the secretary, under corporate seal if any.

A corporation return may be inspected by or disclosed to any of the following:

(1) a person designated by the corporation's board of directors;

(2) any officer or employee of the corporation who presents a written request signed by any principal officer and witnessed by the secretary;

(3) any bona fide shareholder who owns 1 percent or more of the outstanding stock of the corporation;

(4) if the corporation was a foreign personal holding company under section 552, any person who was a shareholder during any part of a period covered by the return if for any part of that period the shareholder was required under section 551 to include in gross income undistributed foreign personal holding company income from the corporation;

(5) if the corporation was an electing small business corporation under subchapter S of Chapter 1, any person who was a shareholder during any part of the period covered by the return during which an election was in effect; or

(6) if the corporation has been dissolved, any person authorized by applicable State law to act for the corporation or any person who the Secretary finds to have a material interest which will be affected by information contained on the return.

The basic rate for reproduction of a completed tax form or other document is $1 for one page and 10 cents for each additional page. Unless certification is requested, only pages on which an entry appears will be copied.

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Colorado—Ogden, UT 84201
Connecticut—Andover, MA 05501
Delaware—Philadelphia, PA 19255
District of Columbia—Philadelphia, PA 19255
Florida—Atlanta, GA 31101
Georgia—Atlanta, GA 31101
Hawaii—Fresno, CA 93888
Idaho—Ogden, UT 84201
Illinois—Kansas City, MO 64999
Indiana—Memphis, TN 37501
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Kansas—Austin, TX 73301
Kentucky—Memphis, TN 37501
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Massachusetts—Andover, MA 05501
Michigan—Cincinnati, OH 45999
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Mississippi—Atlanta, GA 31101
Missouri—Kansas City, MO 64999
Montana—Ogden, UT 84201
Nebraska—Ogden, UT 84201
Nevada—Ogden, UT 84201
New Hampshire—Andover, MA 05501
New Jersey—Holtsville, NY 00501
New Mexico—Austin, TX 73301
New York
  New York City and Counties of Nassau, Rockland, Suffolk and Westchester—Holtsville, NY 00501
  All Other Counties—Andover, MA 05501
North Carolina—Memphis, TN 37501
North Dakota—Ogden, UT 84201
Ohio—Cincinnati, OH 45999
Oklahoma—Austin, TX 73301
Oregon—Ogden, UT 84201
Pennsylvania—Philadelphia, PA 19255
Rhode Island—Andover, MA 05501
South Carolina—Atlanta, GA 31101
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Tennessee—Memphis, TN 37501
Texas—Austin, TX 73301
Utah—Ogden, UT 84201
Vermont—Andover, MA 05501
Virginia—Memphis, TN 37501
Washington—Ogden, UT 84201
West Virginia—Memphis, TN 37501
Wisconsin—Kansas City, MO 64999
Wyoming—Ogden, UT 84201

Form 4506 (Rev. 2-78)

Exhibit 2-13. Parent package: Question-and-answer page (continued)

- WHO IS CONDUCTING THE STUDY?

  This Basic Educational Opportunity Grant Study is being conducted by the Quality Assurance Division of the U.S. Office of Education. Westat, Inc., a social science research firm located in Rockville, MD is under contract to the Office of Education to conduct the survey interviews.

- WHY IS THE STUDY BEING CONDUCTED?

  The information is being collected to determine the types of errors being made on financial aid applications, why they are being made, and to recommend appropriate corrective action.

- WHY WAS I CHOSEN TO PARTICIPATE?

  Student names and those of parents were randomly drawn from institutional records of those students receiving Basic Educational Opportunity Grants. Your name was one of those chosen.

- AM I REQUIRED TO PARTICIPATE?

  The authority for collecting the requested information is in section 411(b)(2) of Title IV-A-1 of the Higher Education Act of 1965 as amended (20 U.S.C. 1070a(b)(2)). A condition of receiving a BEOG grant is that an applicant provide relevent supportive information to Federal officials or their authorized representatives to verify application information (45 CFR 190.12). Thus, it is mandatory that a BEOG recipient and his/her parents or guardians who signed the BASIC EDUCATIONAL OPPORTUNITY GRANT APPLICATION provide the requested documentation. Failure to provide the information may result in loss of payments.

- HOW WILL I RECOGNIZE THE INTERVIEWER?

  Prior to making personal contact at your household the interviewer will attempt to reach you by telephone (if a number can be obtained). At that time he/she will go over the list of documents, set up a time for the interview, and tell you about the identification he/she will be carrying. In general, all Westat interviewers carry photo identification cards with appropriate identifying information.

- WHAT WILL BE DONE WITH THE INFORMATION?

  The primary purpose of the study is to obtain information that may be used to improve the operation of the BEOG program. However, this information will become part of an existing BEOG System of Records and the findings may result in a correction to the Student Eligibility Report (SER). Other possible uses include the routine uses of records as defined in Appendix B to 45 code of Federal Regulations Part 5b.

- WHO DO I NOTIFY IF I CAN'T PROVIDE ANY OF THE ITEMS ON THE LIST OF "DOCUMENTS TO BE REVIEWED"?

  As mentioned above, as part of the certification process when you signed the application, you agreed to provide any documents necessary to verify information reported in that form. If you encounter any difficulty locating or obtaining copies of forms from various agencies, inform the interviewer of your situation when he/she contacts you.

- HOW DO I OBTAIN A COPY OF MY 1040 FORM WITH SUPPORTING SCHEDULES?

  If you do not have a copy of your 1977 1040 tax form with any supporting schedules you submitted at the time of filing (A through F), you can request a copy of your 1040 form by completing the enclosed IRS form 4506, "Request for Copy, Tax Form," and return it in the envelope provided. When completing the form be sure to enter the appropriate information in each area.

  You can only request a copy of the form from the center where you filed your 1977 tax form. If you resided at that time in a state different from the one in which you currently reside, you must then request it from the state of residency in 1977. On the reverse side of the form you will find additional information for completing the form. The Division of Quality Assurance will pay any processing charges.

- WHERE DO I FIND THE ADDRESS OF THE REQUIRED SERVICE CENTER TO NOTE THE OFFICE FROM WHICH I SHOULD REQUEST THE FORM?

  On the reverse side of the enclosed 4506 form you will find a list of service centers from which to request a copy of the form. Enter the state information for the center in the space marked "Internal Revenue Service Office where tax form was filed" on the front side of the enclosed form 4506.

- AM I REQUIRED TO ANSWER ALL QUESTIONS THE INTERVIEWER ASKS?

  While you are not required to answer the questions in Section A, this section gives the Office of Education valuable information about the application process. Section B contains the required verification of information reported on the application.

  Parents of independent students, however, are not obligated to answer any of the questions, but their participation is vital to the success of the study.

was coded and keypunched, the cards were updated, and new labels were produced. A second package was mailed, and the remail date was recorded on the receipt control log.

b. Receive IRS Forms

An IRS request form was included in both the student and parent packages. If the respondent did not have a certified IRS copy of his/her 1977 income tax return, he/she was instructed in the letter to complete the form and return it to Westat. When Westat received these requests, they were logged in, dated and forwarded weekly in bulk packages to the appropriate IRS center.

c. Call Records

Using the labels that were processed, call records (Exhibit 2-14) were assembled by the receipt control staff. A call record was created for each respondent, with both student and parent labels affixed to the front. The date that the SER was signed was placed in the upper left-hand corner, and the respondent status was placed in the upper right-hand corner of the record. The call records then were turned over to the field director's staff for assignments to the interviewers.

2.2.2 Student/Parent Returns

The primary returns from the students and parents were the questionnaires. The receipt and processing of the questionnaires were monitored manually (in log books) and by computer (outcome card decks) to produce a weekly status-of-receipt report (Exhibit 2-15).

Exhibit 2-14. Call record

CALL RECORD

RESPONDENT TYPE__________

	INTERVIEWER ID	DATE RECEIPT	DATE SUBMIT	RESULT
First Assignment				
Second Assignment				
Third Assignment				

Location Information

STUDENT

AFFIX LABEL HERE

ADDRESS UPDATE	SOURCES/COMMENTS

PARENT

AFFIX LABEL HERE

ADDRESS UPDATE	SOURCES/COMMENTS

Record of Calls

ATTEMPT NUMBER	DAY	DATE	TIME	CONTRACT			ID #	RESULT CODE	Assignment Number	COMMENTS/PROBLEMS
				IP	T	N				
1			am pm							
2			am pm							
3			am pm							
4			am pm							
5			am pm							
6			am pm							
7			am pm							
8			am pm							
9			am pm							
10			am pm							

RESULT CODES

1 - COMPLETE. 2 - COMPLETE, NO DOCUMENTATION. 3 - REFUSAL. 4 - BREAKOFF. 5 - APPOINTMENT. 6 - NOT AT HOME. 7 - OTHER.

Exhibit 2-14. Call record (continued)

ATTEMPT NUMBER	DAY	DATE	TIME	CONTRACT			ID #	RESULT CODE	Field Finalization	COMMENTS/PROBLEMS
				IP	T	N				
11			am pm							
12			am pm							
13			am pm							
14			am pm							
15			am pm							
16			am pm							
17			am pm							
18			am pm							
19			am pm							
20			am pm							
21			am pm							
22			am pm							
23			am pm							
24			am pm							
25			am pm							
26			am pm							
27			am pm							
28			am pm							
29			am pm							
30			am pm							

Notes

Exhibit 2-15. Weekly status report

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I------------------------------------------------------------------------------------------------------------------------I
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I                                                                                                                        I
I 06/15/79                       BASIC EDUCATIONAL OPPORTUNITY GRANT STUDY - TASKII                       PAGE:  7 OF  7 I
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I                                           WEEKLY STATUS REPORT                                                         I
I                                                                                                                        I
I                                                                                                                        I
I                                                                                                                        I
I------------------------------------------------------------------------------------------------------------------------I
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I          CONTROL                 I       I        I   0   I   1   I   2   I   3   I   4   I   5   I   6   I   7   I   8   I   9   I
I          SIZE                    I CASE  IRECEIPT I       I       I       I       I       I       I       I       I       I       I
I          DISTRIBUTION SYSTM      I       I        I       I       I       I       I       I       I       I       I       I       I
I RESPONDENT TYPE                  I LOAD  INO.   % INO.  % INO.  % INO.  % INO.  % INO.  % INO.  % INO.  % INO.  % INO.  % INO.  % I
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I                                  I       I        I       I       I       I       I       I       I       I       I       I
I FOUR YEAR ...................    I  2608 I2608 **I    0  0I1836 70I 337 12I  33  1I  15  0I  75  0I  80  3I  24  0I 144  5I  64  2I
I TWO  YEAR ...................    I  1528 I1528 **I    0  0I1022 66I 181 11I  23  1I  11  0I  63  0I 103  6I  14  0I  59  3I  52  3I
I OTHER .......................    I   456 I 456 **I    0  0I 282 61I  55 12I  13  2I   9  1I  20  0I  24  5I   8  1I  29  6I  16  3I
I                                  I       I        I       I       I       I       I       I       I       I       I       I
I PUBLIC ......................    I  3166 I3166 **I    0  0I2182 68I 383 12I  40  1I  25  0I 108  0I 137  4I  40  1I 163  5I  88  2I
I PRIVATE .....................    I   936 I 936 **I    0  0I 663 70I 126 13I  13  1I   1  0I  30  0I  36  3I   2  0I  41  4I  24  2I
I PROPRIETARY .................    I   490 I 490 **I    0  0I 295 60I  64 13I  16  3I   9  1I  20  0I  34  6I   4  0I  28  5I  20  4I
I                                  I       I        I       I       I       I       I       I       I       I       I       I
I 1.  LESS THAN 100 ..........     I   412 I 412 **I    0  0I 261 63I  54 13I   8  1I   2  0I  17  0I  23  5I   8  1I  21  5I  18  4I
I 2.  100-499 ................     I  1118 I1118 **I    0  0I 801 71I 125 11I  25  2I   6  0I  26  0I  48  4I   8  0I  45  4I  34  3I
I 3.  500-1,499 ..............     I  1308 I1308 **I    0  0I 884 67I 187 14I  22  1I  10  0I  48  0I  46  3I   4  0I  73  5I  34  2I
I 4.  1,500-4,999 ............     I  1548 I1548 **I    0  0I1041 67I 181 11I  12  0I  16  1I  64  0I  77  4I  24  1I  87  5I  46  2I
I 5.  5000+ ..................     I   206 I 206 **I    0  0I 153 74I  26 12I   2  0I   1  0I   3  0I  13  6I   2  0I   6  2I   0  0I
I                                  I       I        I       I       I       I       I       I       I       I       I       I
I ALTERNATE ...................    I   114 I 114 **I    0  0I  72 63I  15 13I   0  0I   0  0I   5  0I   4  3I   4  3I   8  7I   6  5I
I REGULAR .....................    I  4478 I4478 **I    0  0I3068 68I 558 12I  69  1I  35  0I 153  0I 203  4I  42  0I 224  5I 126  2I
I                                  I       I        I       I       I       I       I       I       I       I       I       I
I INDEPENDENT  STUDENT .......     I   832 I 832 **I    0  0I 607 72I  73  8I  10  1I   9  1I  11  0I  42  5I  12  1I  23  2I  45  5I
I DEPENDENT STUDENT ..........     I  1464 I1464 **I    0  0I1052 71I 297 20I   5  0I  10  0I   6  0I  36  2I  11  0I  26  1I  21  1I
I INDEPENDENT PARENT .........     I   832 I 832 **I    0  0I 286 34I 121 14I  44  5I   9  1I 108  0I  96 11I  12  1I 111 13I  45  5I
I DEPENDENT PARENT  ..........     I  1464 I1464 **I    0  0I1195 81I  82  5I  10  0I   7  0I  33  0I  33  2I  11  0I  72  4I  21  1I
I                                  I       I        I       I       I       I       I       I       I       I       I       I
I------------------------------------------------------------------------------------------------------------------------I
I                                                                                                                        I
I                                                                                                                        I
I                                                                                                                        I
I STUDENT/PARENT SETS:                                                                                                   I
I        DEPENDENT...........   1240                                                                                     I
I        INDEPENDENT.........    381                                                                                     I
I                                                                                                                        I
I                                                                                                                        I
I                                                                                                                        I
I NUMBER OF INELIGIBLE                                                                                                   I
I        STUDENT/PARENTS....      26                                                                                     I
I                                                                                                                        I
I                                                                                                                        I
I                                                                                                                        I
I NOTE: ** = 100 PER CENT                                                                                                I
I                                                                                                                        I
I------------------------------------------------------------------------------------------------------------------------I
```

a. Receipt Control Log Book Description

The receipt control log was divided so that more than one clerk at a time could record receipts. The names of respondents were in order by ID number. The log contained the ID number, name, address, telephone number, and social security number of the respondent. The log had spaces in which to record the date received, final outcome code, corrections to the identifying information, an updated outcome code, and comments.

b. Scan Edit Procedures

The questionnaires were filed in ID order until they could be scan edited. The purposes of the scan edit were to determine whether any corrections must be made to the label and to assign a final outcome code to the questionnaire.

As each site return package was received, the date of receipt was stamped in the upper right-hand corner of the transmittal sheet and the call record. The receipt control clerk verified that all questionnaires on the transmittal sheet were in the package.

During the scan edit, the label was checked to see if the interviewer made any changes to the name, address or telephone number. The call record also was checked for any notes by the interviewer or site supervisor for indications of the type of final outcome code which should be assigned (this includes the actual outcome code assigned in the field).

After these items were checked, the final outcome code was assigned. When this code was determined, the receipt control clerk decided where the questionnaire should be sent. This was called the routing of the questionnaire. The questionnaire either stayed in receipt control or was transmitted to edit/code.

The final outcome codes, their definitions and routing instructions are shown in Table 2-1.

c. Logging Procedures

After the questionnaire was scanned and assigned a final outcome code (written on the upper left corner of the questionnaire) the appropriate information was logged into the Receipt Control Log.

The date received (stamped on the call record) and the outcome code (from the upper left corner of the questionnaire) were entered on the log. For questionnaires that required a change in name, address, and telephone number, the incorrect portion of the log was lined out and the correct information was written in the "Name, Address, or Telephone Update" section. Next, the Survey Control File was updated by filling out an update sheet with the correct information. The corrections were initialed on the questionnaire.

Finally, the outcome card was drawn from the Survey Control Deck, with the outcome code and the routing number written across the top of the card. These were put aside to be keypunched weekly for the status-of-receipts report.

A colored routing card was pulled from a similar deck and the outcome code and routing code were written across the

Table 2-1. Final outcome codes, their definitions and routing instructions

Final outcome codes	Definition	Action taken (routing instructions)
1	Complete - Code this when all questions that should have answers are answered and there are no indications of any other codes. Key documentation items were provided by the respondent.	Log in - route to edit/code
2	Complete No Documentation - Code this when all questions that should have answers are answered and there are no indications of any other code. Key documentation items were not provided by the respondent.	Log in - route to edit/code
3	Refusal/Breakoff - Code this when the respondent will not answer any of the questions in the questionnaire; or refuses at some point in the interview to continue and all the mandatory questions are not completed.	Log in - if definite refusal, stay in receipt control
4	Avoidance - Code this when the interviewer has not been able to set up an appointment to administer the questionnaire after many attempts. Not at Home - Code this when all attempts to find the respondent at home and conduct the interview have failed.	Log in - stay in receipt control
5	Physical/Language Barrier (respondent problem) - Code this when respondent has died, has a language or physical barrier that prevents him/her from cooperating, or is in a location that Westat interviewers cannot reach.	Log in - stay in receipt control
6	Unable to Locate - Code this when the address we have for a respondent is incorrect and all our attempts to locate the respondent have failed.	Log in - stay in receipt control
7	Ineligible - Code this when the respondent is not a student or never received a Basic Grant.	Log in - stay in receipt control Verify with institution that no grant has been awarded
8	Other - Any case that does not clearly fall into categories 1-7 and 9. These cases include 1) outlyers, 2) people who expressed a willingness to cooperate but could not within our time frame, 3) people who technically complied with our requests (provided documentation but would not answer questions), and 4) respondents who were interviewed, their cases lost in transit to our Rockville office, and could not be reinterviewed.	Log in - file questionnaire or call record folder in receipt control
9	Supplementals - Student and parent cases for which a supplemental application has been filed. These cases are not included on the final data tape.	Log in - file questionnaire in receipt control

top of the card. This card then was placed in a stack with the cards from other questionnaires that had the same routing code.

d. SER Check

Using the first five digits of the ID number, a receipt control clerk compared the SER values with the reported values on the respondent questionnaire. Any discrepancies beyond those allowed under the proposed tolerance levels (Appendix D) were listed on a BEOG Followup Sheet (Exhibit 2-16). This sheet was attached to the front of the call record.

A receipt control clerk listed the cards by routing code on two-part paper. One part remained in receipt control and the other part accompanied the cards and questionnaires to the next processing area.

The keypunched card with the questionnaires' identification number also contained information about the type, size, and control of the school. This card permitted us to produce a cumulative status-of-receipts report by final outcome code, type of respondent, sampling information of the institution, and site on a weekly basis. Other useful information included on this report was the number of questionnaires and the number of completed parent/student sets.

e. IRS Check

Using the certified IRS copies of respondent tax forms, the receipt control staff compared the values on the tax form with those reported on the questionnaire. Corrections were made when necessary. The proposed tolerance levels outlined in

Exhibit 2-16. BEOG followup sheet

BEOG
FOLLOWUP SHEET

ID# ____________________ NAME ____________________

INTERVIEWER ID __________ PHONE ____________________

CODER ____________________

SER DISCREPENCIES

QUESTION	SER VALUE	REPORTED VALUE	RESOLUTION

INITIALS ____________________

DATE OF CALL					
TIME OF CALL					
ADDITIONAL FOLLOWUP NEEDED	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___

Appendix D were observed in this task as well as the SER check. Differences in the tax form value and the reported values were recorded on the tax form discrepancy form (Exhibit 2-17).

2.3 Coding

2.3.1 Receipt of Cases

The BEOG completed cases were initially received in edit/code from Receipt Control. Each case received was listed on a double-copy transmittal form (Exhibit 2-18) and was accompanied by an orange routing card. Upon receipt, each transmittal was reconciled, signed and dated. One copy was kept in edit/code; the other copy was returned to receipt control to be kept with their records.

The date of receipt was logged into the internal control log for each case on the transmittal and the cards were filed in a drawer labeled "Edit/Code". The cases then were filed in the "To Be Edited/Coded" drawer.

2.3.2 Coder/Editor Training

Coding and editing training was a full day activity. The training manual that each coder/editor received included the coding manual, card layout, question-by-question specifications, copies of the parent and student coding forms (transcription sheets), coder's weekly reporting forms, open-ended coding log sheets, and followup sheets. Each trainee also was given a blank copy of the questionnaire and copies of test questionnaires to code. Each coder's work was 100 percent verified for one week or until the coder's work was satisfactory. Thereafter the verification dropped to 20 percent.

Exhibit 2-17. Tax form discrepancy form

ID#		Tax Form	Reported Value	Documentation
B1	1040 Line 6C 1040A Line 5C			
B12	1040 Line 6C 1040A Line 5C			
B25	1040 Line 7 1040A Line 6			
B26	1040 Line 31 1040A Line 10			
B27	1040 Line 8 1040A Line 7			
B28	1040 Line 54 1040A Line 13			
B29	1040 Line 33 Schedule A Line 41			
B30	1040 - Schedul A, Line 10			
B31	1040-Schedule A, Line 29 Form 4684 (US Tax) Line 12			
B37	1040 - Schedule A, Line 18			

Batch & Date ____________

Exhibit 2-18.

TRANSMITTAL FORM -- From Coding to Keypunch

This Shipment	Previous Total	Total to Date

ID #	Sent	Recv'd	ID #	Sent	Recv'd
1			41		
2			42		
3			43		
4			44		
5			45		
6			46		
7			47		
8			48		
9			49		
10			50		
1			51		
2			52		
3			53		
4			54		
5			55		
6			56		
7			57		
8			58		
9			59		
0			60		
1			61		
2			62		
3			63		
4			64		
5			65		
6			66		
7			67		
8			68		
9			69		
0			70		
1			71		
2			72		
3			73		
4			74		
5			75		
6			76		
7			77		
8			78		
9			79		
0			80		

2.3.3 Coding the Cases

Editor/coders removed a stack of cases from the "To Be Edited Coded" drawer and, using the coding manual page by page as a guide, coded each question in Section A beside the appropriate column numbers in the right margin and each question of Section B on a Parent or Student Coding Form (Exhibit 2-19 and 2-20). During this coding process, the responses to questions A-11 and A-20, as well as all "OTHER-SPECIFY" responses for appropriate questions in both Section A and Section B, were copied onto open-ended coding logs (Exhibit 2-21). A separate open-ended coding log was kept for each question or sub-question. All errors and problems for each case were noted on a followup sheet (Exhibit 2-22), which was then stapled onto the front cover of the questionnaire.

After the case had been completely coded, the Parent/Student coding form was stapled into the inside back cover of the questionnaire. Coders entered the case ID number on their weekly report, along with the date the case was coded, in the first edit columns. If the case had no errors or problems, the coder placed a checkmark (✓) in the column labeled "TO KP" (keypunch). If the case did have errors or problems the coder placed a checkmark in the column labeled "TO FOLLOWUP". Next, the coder initialed and dated the stamp on the back cover of the call record and then filed the case in the drawer labeled "TO BE REVIEWED".

2.3.4 Reviewing Cases

The coding supervisor (or another designated coder) removed the cases from the "TO BE REVIEWED" drawer to verify that the coding had been completed correctly. Errors and problems noted on the followup sheet were reviewed and corrected, if possible. All problems in Section A were corrected and crossed off the

Exhibit 2-19. Parent coding form

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
Respondent ID	01 - 07	Card 0 5 08-09		Box 5 10	Box 6 + 11		
PARENTS ONLY							
B-1	12	13	14	15	16	17	18
B-1	19			20	21	22	23
B-3	24			25	26	27	28
B-4	29			30	31	32	33
B-5	34			35	36	37	38
B-6	39			40	41	42	43
B-7	44	45	46	47	48	49	50
B-8	51	52	53	54	55	56	57
B-9	58			59	60	61	62

Respondent ID	01 - 07	Card 0 6 08-09					
STUDENTS ONLY							
B-10	+ 10	+ 11		+ 12	+ 13	+ 14	+ 15
B-11	+ 16	+ 17	+ 18	+ 19	+ 20	+ 21	+ 22
B-12	+ 23	+ 24	+ 25	+ 26	+ 27	+ 28	+ 29
B-13	+ 30			+ 31	+ 32	+ 33	+ 34
B-14	+ 35			+ 36	+ 37	+ 38	+ 39
B-15	+ 40	+ + 41-42		+ 43	+ 44	+ 45	+ 46
B-16	+ 47	+ + 48-49		+ 50	+ 51	+ 52	+ 53
B-17	+ 54			+ 55	+ 56	+ 57	+ 58
B-18	+ 59			+ 60	+ 61	+ 62	+ 63
B-19	+ 64			+ 65	+ 66	+ 67	+ 68

Exhibit 2-19. Parent coding form (continued)

Respondent ID 01 - 07

Card 07 (08-09)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
B-20	+ 10			+ 11	+ 12	+ 13	+ 14
B-21	15			16	17	18	19
B-22	20-21	22		23	24	25	26
B-23	27-28	29		30	31	32	33

Respondent ID 01 - 07

Card 08 (08-09)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
B-24	10					11	
B-25	12-13	14	15	16	17	18	19
B-26	20 - 25	26	27	28	29	30	31
B-27	32 - 37 respondent 38 - 43 spouse	44	45	46	47	48	49
B-28	50 - 55	56	57	58	59	60	61
B-29	62 - 67	68	69	70	71	72	73

Respondent ID 01 - 07

Card 09 (08-09)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
B-30	10 - 15	16	17	18	19	20	21
B-31	22 - 27	28	29	30	31	32	33
B-32	34					35	
B-33	36 - 41	42	43	44	45	46	47
B-34	48					49	

Respondent ID 01 - 07

Card 10 (08-09)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
B-35	10 - 15	16	17	18	19	20	21
B-36	22 - 27	28-29	30-31	32	33	34	35

Exhibit 2-19. Parent coding form (continued)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
Respondent ID	01 - 07	**Card** 1 0 08-09	**(Continued)**				
B-37	+ 36	37				38	
B-38	39					40	
B-39	41 - 46	47	48	49	50	51	52
B-40	53 - 58	59	60	61	62	63	64
Respondent ID	01 - 07	**Card** 1 1 08-09					
B-41	10					11	
B-42	12 - 17	18	19	20	21	22	23
B-43	24 - 29	30	31	32	33	34	35
B-44	36					37	
B-45	38 - 43	44	45	46	47	48	49
B-44	50 - 55	56	57	58	58	60	61
Respondent ID	01 - 07	**Card** 1 2 08-09					
B-47	10			11	12	13	
B-48	14					15	
B-49	16 - 21	22	23			24	
B-50	25					26	
B-51	27 - 32	33	34			35	
B-52	36					37	
B-53	38 - 43	44	45			46	

Exhibit 2-19. Parent coding form (continued)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
Respondent ID	01 - 07	Card 13 08-09					
B-54	10					11	
B-55	12 - 17	18	19			20	
B-56	21					22	
B-57	SOURCE	AMOUNT					
	23-24	$ 25 - 30					
	31-32	$ 33 - 38				55	
	39-40	$ 41 - 46					
	47-48	$ 49 - 54					
Respondent ID	01 - 07	Card 14 08-09					
B-58	10					11	
B-59	12 - 17 your income 38 - 43 spouse's income	24	25			26	
B-60	27 - 32	33	34	35	36	37	38
Respondent ID	01 - 07	Card 15 08-09					
B-61	10 - 15	16	17	18	19	20	21
B-62	22-23	24	25	26	27	28	29
B-63	30 - 33 #1 34 #2	35	36	37	38	39	40
B-64	41-42	43	44	45	46	47	48

Blank	Beginning Time	Ending Time	Int. ID
49	50 51 52 53 54	55 56 57 58 59	60 61 62

Exhibit 2-20. Student coding form

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
Respondent ID 01 - 07		Card 0 5 08-09		Box 5 + 10	Box 6 11		
PARENTS ONLY							
B-1	+ 12	+ 13	+ 14	+ 15	+ 16	+ 17	+ 18
B-1	+ 19			+ 20	+ 21	+ 22	+ 23
B-3	+ 24			+ 25	+ 26	+ 27	+ 28
B-4	+ 29			+ 30	+ 31	+ 32	+ 33
B-5	+ 34			+ 35	+ 36	+ 37	+ 38
B-6	+ 39			+ 40	+ 41	+ 42	+ 43
B-7	+ 44	+ 45	+ 46	+ 47	+ 48	+ 49	+ 50
B-8	+ 51	+ 52	+ 53	+ 54	+ 55	+ 56	+ 57
B-9	+ 58			+ 59	+ 60	+ 61	+ 62
Respondent ID 01 - 07		Card 0 6 08-09					
STUDENTS ONLY							
B-10	10	11		12	13	14	15
B-11	16	17	18	19	20	21	22
B-12	23	24	25	26	27	28	29
B-13	30			31	32	33	34
B-14	35			36	37	38	39
B-15	40	41-42		43	44	45	46
B-16	47	48-49		50	51	52	53
B-17	54			55	56	57	58
B-18	59			60	61	62	63
B-19	64			65	66	67	68

Exhibit 2-20. Student coding form (continued)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
Respondent ID	01 - 07	**Card** 07 08-09					
B-20	10			11	12	13	14
B-21	15			16	17	18	19
B-22	20-21	22		23	24	25	26
B-23	27-28	29		30	31	32	33
Respondent ID	01 - 07	**Card** 08 08-09					
B-24	10					11	
B-25	12-13	14	15	16	17	18	19
B-26	20 - 25	26	27	28	29	30	31
B-27	32 - 37 respondent 38 - 43 spouse	44	45	46	47	48	49
B-28	50 - 55	56	57	58	59	60	61
B-29	62 - 67	68	69	70	71	72	73
Respondent ID	01 - 07	**Card** 09 08-09					
B-30	10 - 15	16	17	18	19	20	21
B-31	22 - 27	28	29	30	31	32	33
B-32	34					35	
B-33	36 - 41	42	43	44	45	46	47
B-34	48					49	
Respondent ID	01 - 07	**Card** 10 08-09					
B-35	10 - 15	16	17	18	19	20	21
B-36	22 - 27	28-29	30-31	32	33	34	35

Exhibit 2-20. Student coding form (continued)

Respondent ID 01 - 07 | Card 1 0 08-09 | (Continued)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
B-37	+ 36	37				38	
B-38	39					40	
B-39	41 - 46	47	48	49	50	51	52
B-40	53 - 58	59	60	61	62	63	64

Respondent ID 01 - 07 | Card 1 1 08-09

B-41	10					11	
B-42	12 - 17	18	19	20	21	22	23
B-43	24 - 29	30	31	32	33	34	35
B-44	36					37	
B-45	38 - 43	44	45	46	47	48	49
B-44	50 - 55	56	57	58	58	60	61

Respondent ID 01 - 07 | Card 1 2 08-09

B-47	10			11	12	13	
B-48	14					15	
B-49	16 - 21	22	23			24	
B-50	25					26	
B-51	27 - 32	33	34			35	
B-52	36					37	
B-53	38 - 43	44	45			46	

Exhibit 2-20. Student coding form (continued)

Q.	Verification Item	A Current	B Original	C Trouble	D Reason	Comments	SER Value Consistency
Respondent ID	01 - 07	Card 1 3 08-09					
B-54	10					11	
B-55	12 - 17	18	19			20	
B-56	21					22	
B-57	SOURCE	AMOUNT					
	23-24	$ 25 - 30					
	31-32	$ 33 - 38				55	
	39-40	$ 41 - 46					
	47-48	$ 49 - 54					
Respondent ID	01 - 07	Card 1 4 08-09					
B-58	10					11	
B-59	12 - 17 your income	24	25			26	
	38 43 Spouse's income						
B-60	27 - 32	33	34	35	36	37	38
Respondent ID	01 - 07	Card 1 5 08-09					
B-61	10 - 15	16	17	18	19	20	21
B-62	22-23	24	25	26	27	28	29
B-63	30 - 33 #1 34 #2	35	36	37	38	39	40
B-64	41-42	43	44	45	46	47	48

+			
49	50 51 52 53 54	55 56 57 58 59	60 61 62
Blank	Beginning Time	Ending Time	Int. ID

Exhibit 2-21. Open-ended coding log

BEOG
Open End Coding Log

Question # ______________

Coder ______________

ID #	"Other" Response

156

Exhibit 2-22. Followup sheet

BEOG
FOLLOWUP SHEET

ID# ____________________ NAME ____________________

INTERVIEWER ID __________ PHONE ____________________

CODER ____________________

SER DISCREPENCIES

QUESTION	SER VALUE	REPORTED VALUE	RESOLUTION

INITIALS ____________________

DATE OF CALL					
TIME OF CALL					
ADDITIONAL FOLLOWUP NEEDED	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___	Yes ___ No ___

followup sheet. If the social security number for a student case was missing, it was looked up and entered from the Receipt Control Log. For parent cases, the "DON'T KNOW" code was entered for a missing social security number. Any errors or problems with documentation or the "Trouble" questions in Section B were corrected and crossed off the followup sheet. Any SER inconsistencies for which there was documentation shown during the interview for the verification item response were crossed off the SER discrepancy followup sheet.

After each case was reviewed, the only errors or problems (if any) left on the followup sheets were SER discrepancies for which no documentation was shown during the interview and/or missing verification item responses. If all errors, problems and SER discrepancies had been crossed off the followup sheets, the sheets were removed from the front cover of the call record and filed in ID number order. Section B was stapled together and the case then was filed in the "TO KP" drawer to be transmitted to keypunch. If there were still errors, problems, and/or SER discrepancies left on the followup sheets after completion of the reviewing process, the sheets remained stapled onto the call record and the case was filed in the "TO FOLLOWUP" drawer to be transmitted to the Telephone Center.

2.3.5 Transmittals

Cases were transmitted to keypunch and to the Telephone Center using the following procedures. The cases were sorted by ID number into numerical order. The orange routing card was pulled for each case and two listings of the cases to be transmitted were produced. One listing accompanied the cases; the second listing remained in edit/code after it had been signed by the receiving department upon receipt of the cases. The orange routing cards were filed in either the "TO FOLLOWUP" drawer or the "TO KP" drawer, depending on where the cases were transmitted. The date to followup or keypunch was logged into the internal control log.

2.3.6 Validation and Data Retrieval

Validation also was conducted on cases that had been transmitted to the Telephone Center for data retrieval followup. Every interviewer's work was validated. For cases that needed data retrieval, all of the questions on the validation form were asked. During this validation/data retrieval process, if it was determined that an interviewer had falsified an interview, 100 percent of that interviewer's work was validated.

A listing of all the cases completed by any interviewer who falsified an interview was requested from the field manager and these cases were, in turn, pulled from the edit/code files and transmitted separately to the Telephone Center for special validation, if they had not already been validated the normal way.

During 100 percent validation, only the first three questions on the validation form (Exhibit 2-23) were asked: 1) Were you interviewed? 2) When and where did the interview take place?, and 3) How long did the interview take? In the regular validation/data retrieval procedure, all of the questions on the validation form were asked and then the appropriate followup questions were asked again as they were worded in the questionnaire. The respondent's responses were recorded on the followup sheet.

After validation and data retrieval were completed, the cases were transmitted back to edit/code in a manner similar to the way they had been sent to the Telephone Center. They were received by the coding supervisor, the transmittal was reconciled and filed,

Exhibit 2-23. Validation form

BEOG VALIDATION FORM

Attempts to Validate

Day/Date	Time	Comments
1.		
2.		
3.		
4.		

Case I.D. # ____________________ Date of Validation ____________

Respondent's Name ____________________ Date of Interview ____________

Interviewer ID ____________________

Hello, is ____________________ (respondent's name) there? My name is ____________________ (your name) and I am with Westat Research Incorporated.

1. ALL Did an interviewer from Westat interview you recently concerning (your/son's your/daughter's) Basic Educational Opportunity Grant?

   Yes 1 (Q2)

   No . . . . 2 THANK R AND TELL HIM/HER THAT YOU MAY BE RECONTACTING HIM/HER.

   DK . . . . 3 GIVE R DETAILS ABOUT STUDY. IF R STILL UNSURE, TELL HIM/HER THAT YOU MAY RECONTACT HIM/HER.

   I would like to thank you for participating in the study. I would like to take a few minutes to ask you some questions so that we may better understand the information you provided us during the interview.

2. ALL Where did the interview take place?

   ____

   ____

3. ALL How long did the interview last?

   ____

Exhibit 2-23. Validation form (continued)

4. You may recall that you were requested to have certain documents ready for the interview. Can you remember what documents you actually did show the interviewer during the course of the interview?

ALL

Docs in Section B (Current)	Val Response Docs

5. Did the interviewer show you examples of application forms that might be used for the purpose of applying for a Basic Educational Opportunity Grant?

ALL

6. Did the interviewer ask you if you had any trouble completing any items on the application form?

ALL

DATA RETRIEVAL: NOW RE-ASK ANY QUESTIONS THAT WERE OMITTED OR ARE SER DISCREPANT. IF NONE, GO TO ADDITIONAL VAL Q'S OR TERMINATE WITH Q.10

OPTIONAL VAL Q's: IF YOU ARE UNCERTAIN ABOUT THE INTERVIEWER'S HANDLING OR ANY ASPECT OF THE INTERVIEW, ASK THE FOLLOWING OPTIONAL QUESTIONS. IF NO PROBLEM, TERMINATE WITH Q.10.

Exhibit 2-23. Validation form (continued)

7.
OPTIONAL
VAL-
DS
ONLY

Were you listed as an exception on your parent's Federal income tax for 1977?

	B-12	Val Resp.
Yes	1	1
No	2	2
Didn't file in 1977	3	3
DK	4	4

8.
OPTIONAL
VAL-
IP
ONLY

Did you assist in filling out the application?

	B-5	Val Resp.
Yes	1	1
No	2	2
DK	3	3

9.
OPTIONAL
VAL-
IS
AND
DP
ONLY

On the date you signed the application, what was the total size of your household including yourself, spouse, dependent children and other persons who live with you and received more than half their support from you?

B-22	Val Resp.
(Household Size)	(Household Size)

10.
ALL

I would like to again thank you for participating in this study. Are there any comments you would like to make about the interview, the interviewer, or this call?

and the date returned was logged into the internal control log. The cases then were filed in the "FROM TELEPHONE CENTER" drawer.

2.3.7 Processing Cases From the Telephone Center

The coding supervisor and a designated coder processed the cases returned from the Telephone Center using the following guidelines. The response obtained over the telephone was coded for missing verification items. For SER discrepancies for which no documentation was shown during the interview, the response obtained over the telephone was coded except in the following situations:

- If the telephone response was "Don't know", the reported value from the original interview was coded.
- If the respondent was unsure of an answer on the telephone even though s/he gave an answer but the value differed significantly from the one given during the original interview, the value reported from the original interview was coded.

If the Telephone Center was unable to contact the respondent, then the values reported from the original interview were coded for the SER discrepancies and the NO ANSWER code was entered for the missing verification items.

When all errors, problems and SER discrepancies had been resolved, coded and crossed off the followup sheets, the sheets were removed from the front cover of the call record and Section B was stapled together. The case was then ready to be transmitted to keypunch and was filed in the "TO KP" drawer.

2.3.8 Keypunching and the Machine Edit

All processed cases received by edit/code were transmitted in batches to Data Enterprises to be keypunched using the transmittal procedure described previously. After the keypunching was completed, the cases were returned to edit/code, the transmittal was reconciled, and the date returned was logged into the internal control log. The cases were stamped "KEYPUNCHED".

A machine edit was performed on the data punched for each batch. The resulting computer printout listed the data input and any logic and/or range errors found by the computer in the data. The coding supervisor (or a designated coder) then corrected the range and logic errors and submitted updates to the data, which were then programmed into the computer until each batch of cases came out "clean". All batches of cases were merged into one large batch to have the final checks completed.

The responses to question A-11 then were submitted as updates for each appropriate case. The coding of this question had been done by special coders after the response categories had been determined by MACRO from a sample of the various responses collected on the open-ended coding logs for A-11. (No coding or updating was completed for question A-20 because OE requested the open-ended coding logs separately.)

2.4 Receipt Control

2.4.1 Introduction to the Receipt Control System

Completed data that were received were tracked so that a one-to-one mapping was established between the interview data received and responses loaded onto the final computer data base. Therefore, the receipt control system was designed to satisfy these objectives:

- Receive all responses that arrive at the home office, and route them to wherever they should go for home office processing;
- Maintain control over the processing status of completed interview guide in the home office; and
- Generate reports on number and percent of cases returned and their results.

a. Survey Control File

The focal point of this system is the Survey Control File. This file was generated at the sampling stage and included ID numbers, sampling, mailing and response information for each school, and students and parents.

The Survey Control File was used to generate mailing, questionnaire and ID logs and labels for the receipt process, Receipt Control Deck for update of survey outcomes to the file, and up-to-date reports on the completion rate of the interview guides. The system used a card update approach.

b. Basic Card Updating Concepts

The UPDATE program was used to modify the Survey Control File. This program permitted alteration of any data field (excluding the ID number) in the survey control file data base, and updating was done on a weekly basis. There were two UPDATE programs:

1. Name and Address UPDATE

   Using the described transcription sheets in Section 2, this program modified the following data items only:

Interviewer Date and Code	(card 1)
Names and Addresses	(card 2 and 3)

2. Disposition Code UPDATE

   A receipt control card deck, maintained by the receipt controller, provided for updating columns 68 through 72 on card 1, once the sampled student/parent was initially entered on the survey control file. These cards were returned to the receipt controller after each update to be filed in ID order. Disposition code updates were kept separately from the name and address updates as they were input to two different programs.

There were four main procedures for modifying the file: Add or Initial Entry, Replace, Alter Columns, and Delete Entry.

An Add or Initial Entry transaction placed an institution or student/parent record on the file for the first time. These entries were placed on a mailing file and were concatenated after completion of the sampling to create one survey control file. The following four kinds of updating were used to correct erroneous information. The Name and Address UPDATE program was used for this purpose.

Example 1: Initial Entry.

Although the majority of the initial entry transactions were keyed directly from the preliminary ID log which was generated to alleviate the transcribing process (further discussion in Section 2.4.2), there was a need for coding 'new' entries or transcription sheets. In such cases, the receipt controller coded all of the appropriate information as specified in Section 2.4.3 for all three cards of data, submitted the cards to be keyed and then submitted them to the programming staff for updating. He/she verified that all of the information was correct before submitting to the program by acquiring an offline listing from the computer operator. After verification, the initial entry cards were input to the Mail File program and then to the Labels and Logs program. An update listing was generated, showing all transactions. The update listing was verified if time permitted.

Example 2: Replace.

After making an initial entry, the receipt controller might have found errors on the update listing or log sheets. If the incorrect data required more than 20 columns of modification, e.g., if the street number on Card 2 (columns 51-80) was wrong, and the first name on Card 2 (columns 10-34) was also wrong, the entire card was replaced by one containing the correct information.

When replacing entire cards, the receipt controller coded all of the information that was required on the card, as well as an '*' in column 9, which is the Action Code for replacement.

Example 3: Alter Columns.

This procedure was used for changing less than 20 columns of information. Suppose only the zip code on card 3, columns 45-49, was incorrect. After coding the appropriate ID information, the wrong information was located and the beginning column number (in this case, column 45) was recorded, then the number of columns to be altered (5 columns for ZIP code) was recorded and finally the correct information was entered.

There are two important concepts in using the ALTER card. One is the coding of a '+' to space out existing information. For example, a middle initial (card 2, column 26) may have been given for a student who has no middle name. By coding the ID number, beginning column 26 number of columns (1) and a '+' in the alter data field, the middle initial will be spaced out (see Exhibit 2-24).

Another important concept in utilizing the ALTER system of updating is the coding of a ' '(blank space) which caused the data to remain untouched. Suppose the State name abbreviation on card 3, columns 42-43, was incorrect, as well as the area code (same card, columns 51-53). Between these two incorrect data items there may have been a correct ZIP code which needed no alteration. Instead of making a replacement for card 3, and also to avoid possible coding errors in replacing entire cards, a correction could be made by coding the ID information, beginning column number (State - column 42), number of columns (12), the correct State abbreviation, 7 blank spaces (column 44 is blank; 45-49 is ZIP, which does not need to be altered; 50 is blank) and finally the correct area code (see Exhibit 2-24).

Exhibit 2-24. Survey Control File - 'Alter' Transcription Sheet

Westat, Inc.

'ALTER' using '+'.

010031172A 2601 +

'ALTER' using ' ' (blank).

153102422A 4212 MD 301

Example 4: Delete Entries.

There is only one reason why this transaction would have been needed, and that is if there was a major error in assigning names and ID numbers for a particular group of students/parents. To delete an entry means to delete cards 1, 2, and 3.

c. Duplicate Transactions

Duplicate modification cards were not acceptable transactions. This does not mean that cards 1, 2, and 3 could not be altered at the same time. It means that two modifications to one card could not be done simultaneously. If the name on card 2 was incorrect, as well as the ZIP code on card 3, it was 'legal' to submit these two changes in one update run. But if the city and ZIP code which are both located on card 3 were wrong, then one replacement card or alter card had to be coded to correct these two mistakes, not two alters or two replacements.

2.4.2 BEOG Study Receipt Control Production Tasks

a. Receipt Control Counts

Once the final sampling sizes per institution were determined, the programming staff supplied a set of parameter cards which included actual number of recipients, estimated sample size and the final adjusted sample size by the sequential institution number. These parameters were input to the program which produced the current total receipt counts for the following:

- Estimated number of recipients
- Actual number of recipients
- Estimated sample size
- Actual sample size
- Adjusted sample size

The output was a listing (see Exhibit 2-25) which showed an up-to-date status of the above categories for all schools in the sample. The file description which produced this line is shown in Exhibit 2-26.

There was one source output file: the updated institution (106 characters) receipt control count file which contained all of the pertinent sample and recipient data plus name, State, type control, size, etc., for all schools. This updated receipt control count file was input to the next receipt control count run.

There was also a 25-character parameter file which was input to the Preliminary ID LOG program and contained up-to-date receipt counts, sample sizes and ADS school indicator (see Exhibit 2-27).

b. Institution "Create a Preliminary ID Log" Program

This program generated a log of dummy student and parent ID numbers per sampled institution up to the adjusted sample size given by parameter cards. This log (Exhibit 2-28)

Exhibit 2-25. Status of school sample

BEOG STUDY PAGE: 1

OECODE	NAME	I	C	S	AD IN	M F	ESTIM. NRECIP	ACTUAL NRECIP	MOS	PHI	MK	CC	F	FP	Z	EST SMP	ACT SMP	ADJ SMP	AL-PHA	SEQ INST	ST ABR	SI
013988	ASSOCIATED TECHNICAL	2	3	2			348	241	108	100	10	0	0.02204	0.02069	45	8	5	7		001	CA	1
011121	BRYMAN SCHOOL, THE-S	3	3	2			172	61	190	32	14	0	0.02662	0.02552	38	5	2	5		002	CA	1
001124	CABRILLO COLLEGE	3	1	3			1173	518	890	32	10	0	0.01445	0.01114	69	17	8	10		003	CA	1
001140	CALIF STATE UNIV-LOS	1	1	4			4011	2300	763	100	6	0	0.00395	0.00403	253	16	16	16		004	CA	1
006973	CANADA COLLEGE	3	1	2			221	139	75	100	14	0	0.03308	0.03188	30	7	5	8		005	CA	1
001167	CITY COLLEGE OF SAN	3	1	4			3938	1890	752	100	6	0	0.00502	0.00512	199	20	10	15		006	CA	1
001178	COLLEGE OF MARIN	3	1	3			604	278	168	100	14	0	0.01477	0.01423	68	9	5	8		007	CA	1
001213	IMMACULATE HEART COL	2	2	2			151	129	55	100	14	0	0.04211	0.04169	24	6	5	8		008	CA	1
012522	LA PUENTE VALLEY VOC	3	3	3			585	213	164	100	14	0	0.01513	0.01458	66	9	3	5		009	CA	1
001223	LOS ANGELES CITY COL	3	1	4			3940	1576	752	100	6	0	0.00502	0.00512	199	20	8	12		010	CA	1
001260	PALOMAR COMMUNITY CO	3	1	3			997	402	545	46	10	0	0.01641	0.01265	61	16	7	11		011	CA	1
007478	SAN DIEGO EVENING CO	3	1	4			1635	1635	808	46	3	0	0.00643	0.00478	156	11	11	11		012	CA	1
001294	SOUTHWESTERN COLLEGE	3	1	4			1665	942	821	46	3	0	0.00633	0.00471	158	11	6	9		013	CA	1
013572	UNIVERSAL BEAUTY ACA	5	3	1			30	15	15	100	10	0	0.15863	0.14894	96	5	3	5		014	CA	1
001312	UNIVERSITY OF CALIFO	1	1	4			3345		660	100	6	0	0.00456	0.00466	219	15				015	CA	1
001317	UNIVERSITY OF CALIFO	1	1	4			1682	1449	828	46	11	0	0.00993	0.01210	101	17	14	21		016	CA	1
013080	WILLOW GLEN BEAUTY C	5	3	1			30	12	46	32	14	0	0.09933	0.09468	10	3	1	5		017	CA	1
001345	ADAMS STATE COLLEGE	2	1	3			797	556	3483	6	12	0	0.02024	0.01917	49	16	11	17		018	CO	1
007582	AIMS COLLEGE	3	1	2			467	292	1245	11	11	0	0.02890	0.02735	35	13	8	12		019	CO	1
001350	COLORADO STATE UNIVE	1	1	4			1802	1665	3654	11	0	1	0.00821	0.01000	122	15	14	21		020	CO	1
010732	SAN JUAN BASIN AREA	3	1	1			95	69	633	6	14	0	0.05298	0.05339	19	5	4	5		021	CO	1
001349	UNIVERSITY OF NORTHE	1	1	4			1533		3218	11	0	1	0.00821	0.01000	122	13				022	CO	1
001372	WESTERN STATE COLLEG	2	1	2			410	336	2050	6	0	1	0.01819	0.01833	55	8	6	9		023	CO	1
001500	BROWARD COMMUNITY CO	3	1	4			1841	1014	5112	8	0	1	0.01849	0.01375	54	34	19	25		024	FL	3
001471	CENTRAL FLORIDA COMM	3	1	3			757	460	703	28	10	0	0.02091	0.01612	48	15	10	15		025	FL	3

Exhibit 2-26. New-file description for the Receipt Control Counts program

```
FD  NEW-FILE BLOCK 0 RECORD 106 LABEL RECORD STANDARD.
01  NEW-REC.
  03  REC-NEW.
    05 NEW-INST                 PIC 9(3).
    05 NEW-OECODE               PIC X(6).
    05 NEW-SITE                 PIC 9(1).
    05 NEW-STATE                PIC X(2).
    05 NEW-INST-NAME            PIC X(35).
    05 NEW-CCS-IND              PIC X(1).
    05 NEW-ADSIND               PIC X(1).
    05 NEW-INST-TYPE            PIC X(1).
    05 NEW-INST-CONTROL         PIC X(1).
    05 NEW-SIZE-CODE            PIC X(1).
    05 NEW-ESTREC               PIC 9(6).
    05 NEW-MOS                  PIC 9(6).
    05 NEW-SUB-STRATUM          PIC 9(2).
    05 NEW-PHI                  PIC 9(3).
    05 NEW-MK                   PIC 9(2).
    05 NEW-FPRIME               PIC 9(1)V9(5).
    05 NEW-F                    PIC 9(1)V9(5).
    05 NEW-Z                    PIC 9(4).
    05 NEW-ESTSS                PIC 9(3).
    05 NEW-ACTSS                PIC 9(3).
    05 NEW-ADJSS                PIC 9(3).
    05 NEW-ESTRECX              PIC 9(5).
    05 NEW-ACTREC               PIC 9(5).
  03  R-REC-OLD REDEFINES REC-OLD  PIC X(140).
```

Exhibit 2-27. Input parameter file description for the Receipt Control Counts program

```
FD  MHM-FILE-BLOCK 0 RECORD 80 LABEL RECORD STANDARD.
01  MHM-REC.
 .03  REC-MHM.
    05  MHM-OECODE               PIC X(6).
    05  MHM-ESTREC               PIC 9(5).
    05  MHM-ACTREC               PIC 9(5).
    05  MHM-ESTSS                PIC 9(3).
    05  MHM-ACTSS                PIC 9(3).
    05  MHM-ADJSS                PIC 9(3).
    05  FILLER                   PIC X(55).
  03  R-REC-MHM REDEFINES REC-MHM  PIC X(80).
```

Exhibit 2-28. Preliminary ID log

```
**********************************************************************************************************
*                                                                                                        *
*11/20/78                    BASIC EDUCATIONAL OPPORTUNITY GRANT STUDY - TASK 1                PAGE:   2 *
*                                                                                                        *
*                                     PRELIMINARY ID LOG                                                 *
* (CONTINUED)                                                                                            *
*                                ******************************************                              *
*                                * ASSOCIATED TECHNICAL COLLEGE           *                              *
*                                * 1670 WILSHIRE BOULEVARD                *     ESTIMATED SAMPLE SIZE:  8 *
*                                * LOS ANGELES                 CA 90017   *        ACTUAL SAMPLE SIZE:  7 *
*                                *     PHONE: (     )      -              *                              *
*                                *  TYPE: 2  CONTROL: 3  SIZE: 2  REGULAR *                              *
*     OECODE: 013988    SITE:  1 ******************************************         (PLEASE PRINT)       *
*                                                                                                        *
*--------------------------------------------------------------------------------------------------------*
*______ID__NUMBER_______|____________________________D_E_M_O_G_R_A_P_H_I_C____________________|         *
*INST|STUDENT/|QUEX|SITE| F I R S T  N A M E - M I D D L E  I N I T I A L|  L A S T  N A M E - C I T Y - S T A T E  |DATE*
* NO.|PARENT  |TYPE| NO.|S T R E E T  A D D R E S S - Z I P - P H O N E|  S O C I A L  S E C U R I T Y  N U M B E R|RECV*
*----|--------|----|----|-----------------------------------------------|------------------------------------------|----*
*    |        |    |    |                                               |                                          |    *
*    |PARENT: |    |    |FIRST . . . . . . . . . . . . . . . . .   . . | LAST . . . . . . . . . . . . . . . . . . |    *
*    |        |    |    |                                               |                                          |    *
* 001|   03   |    |    |STREET. . . . . . . . . . . . . . . . . . . . |CITY  . . . . . . . . . . . . . . STATE . .|    *
*    |        |    |    |                                               |                                          |    *
*    |        |    |    |ZIP   . . . . . . . .PHONE (. . .). . . / . . . .|SOCIAL SECURITY#. . . ./. . . / . . . . . . . . .|    *
*    |        |    |    |                                               |                                          |    *
*----|--------|----|----|-----------------------------------------------|------------------------------------------|----*
*    |        |    |    |                                               |                                          |    *
*    |STUDENT:|    |    |FIRST . . . . . . . . . . . . . . . . .   . . | LAST . . . . . . . . . . . . . . . . . . |    *
*    |        |    |    |                                               |                                          |    *
* 001|   04   |    |    |STREET. . . . . . . . . . . . . . . . . . . . |CITY  . . . . . . . . . . . . . . STATE . .|    *
*    |        |    |    |                                               |                                          |    *
*    |        |    |    |ZIP   . . . . . . . .PHONE (. . .). . . / . . . .|SOCIAL SECURITY#. . . ./. . . / . . . . . . . . .|    *
*    |        |    |    |                                               |                                          |    *
*----|--------|----|----|-----------------------------------------------|------------------------------------------|----*
*    |        |    |    |                                               |                                          |    *
*    |PARENT: |    |    |FIRST . . . . . . . . . . . . . . . . .   . . | LAST . . . . . . . . . . . . . . . . . . |    *
*    |        |    |    |                                               |                                          |    *
* 001|   04   |    |    |STREET. . . . . . . . . . . . . . . . . . . . |CITY  . . . . . . . . . . . . . . STATE . .|    *
*    |        |    |    |                                               |                                          |    *
*    |        |    |    |ZIP   . . . . . . . .PHONE (. . .). . . / . . . .|SOCIAL SECURITY#. . . ./. . . / . . . . . . . . .|    *
*    |        |    |    |                                               |                                          |    *
*----|--------|----|----|-----------------------------------------------|------------------------------------------|----*
*    |        |    |    |                                               |                                          |    *
*    |STUDENT:|    |    |FIRST . . . . . . . . . . . . . . . . .   . . | LAST . . . . . . . . . . . . . . . . . . |    *
*    |        |    |    |                                               |                                          |    *
* 001|   05   |    |    |STREET. . . . . . . . . . . . . . . . . . . . |CITY  . . . . . . . . . . . . . . STATE . .|    *
*    |        |    |    |                                               |                                          |    *
*    |        |    |    |ZIP   . . . . . . . .PHONE (. . .). . . / . . . .|SOCIAL SECURITY#. . . ./. . . / . . . . . . . . .|    *
*    |        |    |    |                                               |                                          |    *
*----|--------|----|----|-----------------------------------------------|------------------------------------------|----*
*    |        |    |    |                                               |                                          |    *
*    |PARENT: |    |    |FIRST . . . . . . . . . . . . . . . . .   . . | LAST . . . . . . . . . . . . . . . . . . |    *
*    |        |    |    |                                               |                                          |    *
* 001|   05   |    |    |STREET. . . . . . . . . . . . . . . . . . . . |CITY  . . . . . . . . . . . . . . STATE . .|    *
*    |        |    |    |                                               |                                          |    *
*    |        |    |    |ZIP   . . . . . . . .PHONE (. . .). . . / . . . .|SOCIAL SECURITY#. . . ./. . . / . . . . . . . . .|    *
*    |        |    |    |                                               |                                          |    *
**********************************************************************************************************
```

was used as a transcription sheet for coding names, addresses, telephone numbers and Social Security numbers, for the students and parents once the information had been obtained. It also created a temporary survey control file containing the complete institution records (or cards) 1, 2 and 3, to be used as input to the mailing file creation program. Exhibit 2-29 shows the file layout for this preliminary ID log.

As each institution was assigned a maximum student/parent sample size, parameter cards were supplied (the parameter cards output from the receipt counts program) indicating the maximum sample size per institution (meaning the adjusted sample size data item). All update flags including the label indicator were set to zero, and a check was made to determine if the institution had been through the sampling process (students/parents) and if so, an error message was displayed.

The source output file contained cards 1, 2 and 3 for all institutions with the appropriate update flags set. This file was input to the next run and so on, i.e., OLD-FILE became NEW-FILE for the next run.

c. Mailing File Creation Program

The purpose of this program was to enter initially the names and addresses of institutions, students and parents, on the temporary survey control file. Upon receipt of the names and addresses of sampled students and parents, the preliminary ID log was completed and keyed for each institution. This raw data file, consisting of cards 1, 2 and 3 for students and parents with a completed ID number (i.e., the type of questionnaire and site information), was input as well as the institution file created from the preliminary ID log program.

Exhibit 2-29. Input and output institution file description for the preliminary ID log program

```
01  HOLD-TEMP-REC.
    05  H-TEMP-REC1.
        10  INST-NO           PIC X(3).
        10  INST-ST1          PIC X(2).
        10  INST-TYPE1        PIC X(1).
        10  INST-SITE1        PIC X(1).
        10  CARD-1            PIC X(1).
        10  FILLER            PIC X(1).
        10  DECODE            PIC X(6).
        10  INST-DISTRIBX     PIC X(1).
        10  INST-TYPE         PIC X(1).
        10  INST-CONTROL      PIC X(1).
        10  INST-SIZE         PIC X(1).
        10  INST-ESTSS        PIC X(2).
        10  INST-ACTSS        PIC X(2).
        10  INST-ADJSS        PIC X(2).
        10  FILLER            PIC X(42).
        10  INST-ESTREC       PIC 9(5).
        10  INST-ACTREC       PIC 9(5).
        10  FILLER            PIC X(3).
    05  H-TEMP-REC2.
        10  INST-NO           PIC X(3).
        10  INST-ST2          PIC X(2).
        10  INST-TYPE2        PIC X(1).
        10  INST-SITE2        PIC X(1).
        10  CARD-2            PIC X(1).
        10  FILLER            PIC X(1).
        10  INST-NAME         PIC X(41).
        10  INST-ADDRESS      PIC X(30).
    05  H-TEMP-REC3.
        10  INST-NO           PIC X(3).
        10  INST-ST3          PIC X(2).
        10  INST-TYPE3        PIC X(1).
        10  INST-SITE3        PIC X(1).
        10  CARD-3            PIC X(1).
        10  FILLER            PIC X(1).
        10  INST-CITY         PIC X(31).
        10  FILLER            PIC X(1).
        10  INST-STATE        PIC X(2).
        10  FILLER            PIC X(1).
        10  INST-ZIP          PIC X(5).
        10  FILLER            PIC X(31).
```

A general data item edit was done, and an error listing was produced and included any corrections made directly to the raw data cards, which were manually sorted. The run was resubmitted until a clean file was produced or until the errors output were passable or overrides.

There were two source input files:

- The institution file or cards 1, 2, and 3 (Exhibit 2-30).
- The raw data cards (1, 2, and 3) keypunched from the ID log (Exhibit 2-31).

The output file (Exhibit 2-32) contained the institution record plus the student and parent record and was catalogued by run number.

d. Receipt Logs and Labels Program

Using the mailing file per run number, as input, this program generated two copies of the Receipt Control Log (Exhibit 2-10, page 2-25), two copies of the Internal Control Log (Exhibit 2-11, page 2-26), eight copies of the Mailing Labels, and six copies of the ID labels.

A receipt control deck also was generated, punched, and verified at COMNET. This deck was used for disposition code updating (see Section 2.4.3).

A visual check was made of the information on each label during the mailout process. Any information found incorrect was manually recorded on the label and log, and an update card was prepared to be submitted to the name and address update program. A new log sheet and label were not generated.

Exhibit 2-30. Institution file description for the Mailing File Creation program

```
01  INSTITUTION-HOLD-AREA.
    05  INSTITUTIONS OCCURS 225 TIMES.
        10  INST-RECORD1.
            15  HOLD-INST-REC1.
                20  H-INST-ID          PIC X(3).
                20  H-INST-SP          PIC X(2).
                20  H-INST-QTYPE       PIC X(1).
                20  H-INST-SITE        PIC X(1).
                20  H-INST-CARD        PIC X(1).
                20  FILLER             PIC X(1).
                20  H-INST-OECODE      PIC X(6).
                20  H-INST-DIST        PIC X(1).
                20  H-INST-TYPE        PIC X(1).
                20  H-INST-CONTROL     PIC X(1).
                20  H-INST-SIZE        PIC X(1).
                20  H-INST-ESAMPLE     PIC X(2).
                20  H-INST-ASAMPLE     PIC X(2).
                20  H-INST-SAMPLE      PIC 9(2).
                20  H-INST-LABEL-DATE PIC X(6).
                20  FILLER             PIC X(18).
                20  H-INST-LABEL       PIC X(1).
                20  FILLER             PIC X(30).
        10  INST-RECORD2.
            15  HOLD-INST-REC2.
                20  FILLER             PIC X(9).
                20  H-INST-NAME        PIC X(41).
                20  H-INST-ADDRESS     PIC X(30).
        10  INST-RECORD3.
            15  HOLD-INST-REC3.
                20  FILLER             PIC X(9).
                20  H-INST-CITY        PIC X(31).
                20  FILLER             PIC X(1).
                20  H-INST-STATE       PIC X(2).
                20  FILLER             PIC X(1).
                20  H-INST-ZIP         PIC X(5).
                20  FILLER             PIC X(1).
                20  H-INST-AREACODE PIC X(3).
                20  FILLER             PIC X(1).
                20  H-INST-EXCHANGE PIC X(3).
                20  FILLER             PIC X(1).
                20  H-INST-PHONE-NO PIC X(4).
                20  FILLER             PIC X(18).
```

Exhibit 2-31. Raw data and mailing file student/parent file description for the Mailing File Creation program

```
01  RAWDATA-HOLD-AREA.
  03  RAWDATA-STUDENTS-PARENTS OCCURS 2 TIMES.
    05  RAWDATA-STUDENT-REC1.
        10  RSR1-ID.
            15  RSR1-INST-SPTS.
                20  RSR1-INST-SP.
                    25  RSR1-INST      PIC 9(3).
                    25  RSR1-SP        PIC x(2).
                20  RSR1-TS.
                    25  RSR1-QTYPE     PIC x(1).
                    25  RSR1-SITE      PIC x(1).
            15  RSR1-CARD              PIC x(1).
        10  RSR1-ACTION                PIC x(1).
        10  RSR-OECODE                 PIC x(6).
        10  RSR-DIST                   PIC x(1).
        10  RSR-TYPE                   PIC x(1).
        10  RSR-CONTROL                PIC x(1).
        10  RSR-SIZE                   PIC x(1).
        10  RSR-ESAMPLE                PIC x(2).
        10  RSR-ASAMPLE                PIC x(2).
        10  RSR-SAMPLE                 PIC 9(2).
        10  RSR-LABEL-DATE             PIC x(6).
        10  FILLER                     PIC x(18).
        10  RSR-LABEL                  PIC x(1).
        10  FILLER                     PIC x(30).
```

```
    05  RAWDATA-STUDENT-REC2.
        10  RSR2-ID.
            15  RSR2-INST-SPTS.
                20  RSR2-INST-SP.
                    25  RSR2-INST      PIC X(3).
                    25  RSR2-SP        PIC X(2).
                20  RSR2-TS.
                    25  RSR2-QTYPE     PIC x(1).
                    25  RSR2-SITE      PIC x(1).
            15  RSR2-CARD              PIC x(1).
        10  RSR2-ACTION                PIC x(1).
        10  RSR-SP-NAME.
            15  RSR-FIRST-NAME         PIC x(17).
            15  RSR-LAST-NAME          PIC x(24).
        10  RSR-ADDRESS                PIC x(30).
    05  RAWDATA-STUDENT-REC3.
        10  RSR3-ID.
            15  RSR3-INST-SPTS.
                20  RSR3-INST-SP.
                    25  RSR3-INST      PIC x(3).
                    25  RSR3-SP        PIC x(2).
                20  RSR3-TS.
                    25  RSR3-QTYPE     PIC x(1).
                    25  RSR3-SITE      PIC x(1).
            15  RSR3-CARD              PIC x(1).
        10  RSR3-ACTION                PIC x(1).
        10  RSR-CITY                   PIC x(31).
        10  FILLER                     PIC x(1).
        10  RSR-STATE                  PIC x(2).
        10  FILLER                     PIC x(1).
        10  RSR-ZIP                    PIC x(5).
        10  FILLER                     PIC x(1).
        10  RSR-AREACODE               PIC x(3).
        10  FILLER                     PIC x(1).
        10  RSR-EXCHANGE               PIC x(3).
        10  FILLER                     PIC x(1).
        10  RSR-PHONE-NO               PIC x(4).
        10  FILLER                     PIC x(1).
        10  RSR-SSNO                   PIC x(9).
        10  FILLER                     PIC x(4).
```

Exhibit 2-32. Mailing output file

```
12/12/78                               BASIC EDUCATIONAL OPPORTUNITY GRANT STUDY - TASK I                           PAGE:    14
RUN NUMBER:  1                                      MAILING FILE EDIT

         1         2         3         4         5         6         7         8          ERROR MESSAGE
12345678901234567890123456789012345678901234567890123456789012345678901234567890

07801343 ROYAL OAK                       MI                                        NON NUMERIC ZIP CODE

                                        **THE FOLLOWING IS A LISTING OF THE FULL CARD SET**

07801141 012556

07801142 JACQUELYN                                9011 N. MERIDIAN RD.

07801143 PLEASANT LAKE                   MI 49472              384542617

07801341 012556

07801342 DONALD                                   520 MARLIN AVE.

07801343 ROYAL OAK                       MI

************************************************************************************************************************************



07802143 JACKSON                         MI 49203              366648241           NON NUMERIC TELEPHONE NUMBER  - STUDENT RECORD

                                        **THE FOLLOWING IS A LISTING OF THE FULL CARD SET**

07802141 012556

07802142 HARRY                                    220 WALL ST.

07802143 JACKSON                         MI 49203              366648241

07802341 012556

07802342 JOHN                                     220 WALL ST.

07802343 JACKSON                         MI 49203

************************************************************************************************************************************



07803143 JACKSON                         MI 49203              368586159           NON NUMERIC TELEPHONE NUMBER  - STUDENT RECORD

07803343 JACKSON                         MI                                        NON NUMERIC ZIP CODE
```

2.4.3 Survey Control File Updating

a. Disposition Code Updating

The generation of the Weekly Status Report (Exhibit 2-15, page 2-48) was dependent on the accurate completion of the disposition code updating process. As each questionnaire was logged in, a corresponding computer card was pulled from the Receipt Control Deck and the status of the case was recorded on the card. All cards were then gang-punched and the information was used to update the Survey Control File. After this had been done, the Weekly Status Report was generated. An example of the output of the disposition file update is presented in Exhibit 2-33.

The output cards produced when the labels and logs were generated were used regardless of whether it was an initial update or merely a change in response code. The format of the cards were as follows:

Column	Item
1-7	ID number
1-3	Institution number
4	Blank
5-6	Student Number
7	Blank
8	Questionnaire Type
9	Blank
10	Site number
11-12	Blank
13-53	Student/parent name
54	Blank
55-59	Disposition or Response Status Update
55	Disposition code

Exhibit 2-33. Disposition file update

```
                                                 BASIC EDUCATIONAL OPPORTUNITY GRANT STUDY
                                                  DISPOSITION CODE UPDATE
                                                           02/17/79.                                          PAGE:   19
CARD IMAGE                                                                          UPDATE MESSAGE
.........1.........2.........3.........4.........5.........6.........7.........8
12345678901234567890123456789012345678901234567890123456789012345678901234567890

0191132     MR                                                    8                ROUTE CODE ALTERED FOR THIS CASE
0191132     MR                                                    8   1            ROUTE CODE AS ALTERED FOR THIS CASE

0230811     SHEREE                                                                 FINAL DISPOSITION ALTERED FOR THIS CASE
0230811     SHEREE                                                8                FINAL DISPOSITION AS ALTERED FOR THIS CASE

0230811     SHEREE                                                8                ROUTE CODE ALTERED FOR THIS CASE
0230811     SHEREE                                                8   1            ROUTE CODE AS ALTERED FOR THIS CASE

0390323     EDOUARD                                                                FINAL DISPOSITION ALTERED FOR THIS CASE
0390323     EDOUARD                                               8                FINAL DISPOSITION AS ALTERED FOR THIS CASE

0390323     EDOUARD                                               8                ROUTE CODE ALTERED FOR THIS CASE
0390323     EDOUARD                                               8   1            ROUTE CODE AS ALTERED FOR THIS CASE

0900224     HENRI                                                                  FINAL DISPOSITION ALTERED FOR THIS CASE
0900224     HENRI                                                 8                FINAL DISPOSITION AS ALTERED FOR THIS CASE

0900224     HENRI                                                 8                ROUTE CODE ALTERED FOR THIS CASE
0900224     HENRI                                                 8   1            ROUTE CODE AS ALTERED FOR THIS CASE

0900414     MARGARET                                                               FINAL DISPOSITION ALTERED FOR THIS CASE
0900414     MARGARET                                              8                FINAL DISPOSITION AS ALTERED FOR THIS CASE

0900414     MARGARET                                              8                ROUTE CODE ALTERED FOR THIS CASE
0900414     MARGARET                                              8   1            ROUTE CODE AS ALTERED FOR THIS CASE

0900713     SUSAN                                                                  FINAL DISPOSITION ALTERED FOR THIS CASE
0900713     SUSAN                                                 8                FINAL DISPOSITION AS ALTERED FOR THIS CASE

0900713     SUSAN                                                 8                ROUTE CODE ALTERED FOR THIS CASE
0900713     SUSAN                                                 8   1            ROUTE CODE AS ALTERED FOR THIS CASE

0900733                                                                            FINAL DISPOSITION ALTERED FOR THIS CASE
0900733                                                           8                FINAL DISPOSITION AS ALTERED FOR THIS CASE

0900733                                                           8                ROUTE CODE ALTERED FOR THIS CASE
0900733                                                           8   1            ROUTE CODE AS ALTERED FOR THIS CASE

0921222     LAURIE                                                                 FINAL DISPOSITION ALTERED FOR THIS CASE
0921222     LAURIE                                                8                FINAL DISPOSITION AS ALTERED FOR THIS CASE

0921222     LAURIE                                                8                ROUTE CODE ALTERED FOR THIS CASE
0921222     LAURIE                                                8   1            ROUTE CODE AS ALTERED FOR THIS CASE

1141545     WILBUR                                                                 FINAL DISPOSITION ALTERED FOR THIS CASE
1141545     WILBUR                                                8                FINAL DISPOSITION AS ALTERED FOR THIS CASE

1141545     WILBUR                                                8                ROUTE CODE ALTERED FOR THIS CASE
1141545     WILBUR                                                8   1            ROUTE CODE AS ALTERED FOR THIS CASE

1392036     MARJORIE                                                               FINAL DISPOSITION ALTERED FOR THIS CASE
```

Column	Item (continued)
56-58	Disposition code change or followup
59	Route Code
60-80	Blank

As discussed earlier, the *actual* coding of a '+' means to space out existing information, and the *actual* coding of a ' ' (blank space) means to leave existing data untouched. As there were no transcription sheets (i.e., column designators) for disposition code updating, it was necessary to distinguish a way of letting the keyers know when to key an actual blank space on the update card.

If they intended to leave the existing data untouched, a ' ' was coded on the card. If they wanted to space out, a '+' was coded. The keyers recognized the 'b̸' as meaning to key a blank space, and a '+' as meaning to key a '+'. This eliminated keying errors.

Example: Receipt control may have just received a questionnaire that is complete but will stay in receipt control for some reason. Receipt control will then log in the appropriate information and pull the card, and record the following:

	Disposition Code	Blank	Blank	Stay-in-Receipt Control Code
	1	b̸	b̸	1
OR				
	1	+	+	1

The first set of codes will place a '1' in the disposition code, leave the next two columns as is, and will place a '1' in the route code (meaning 'stay in receipt control'). The second will put '1's in disposition and route codes, and will space out the two disposition change codes. If the columns should be blank, a 'b̸' is coded.

These cards as well as the corresponding log sheets were maintained by the receipt controller. When changing a disposition code or route code, information to be placed in columns 68-72 was recorded on the card.

b. Name and Address Updates

There was one major name and address update. Once all of the students/parents were sampled and entered on the mail file generating their log and label, the names, addresses, social security numbers, etc. were modified. Any errors triggered continued updating until the file was clean.

(1) Institution and Student/Parent Record - Transcription sheets (Exhibit 2-34) were used for the purpose of changing names and addresses on the Survey Control File. This same transcription sheet was also used to add a new record as well as to delete an existing record from the file. The program was called the Name and Address UPDATE, and was composed of the following steps:

- Update Transaction (Column 9-Action Codes)

  b̸ (blank) = initial entry, meaning the record was being added to the file. When making an initial entry, cards 1, 2 and 3 had to be completed, or the transaction was indicated as an error. (Exhibit 2-35)

  * = replace an entire card or record

  A = alter columns (per card).

  D = delete a record or entry.

Exhibit 2-34. Transcription sheet

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Survey Control File - 'Alter' Transcription Sheet

BEOG
0248

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80
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1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80

Exhibit 2-35. Survey control file (initial entry/replace) layout

Westat, Inc.

SURVEY CONTROL FILE (INITIAL ENTRY/REPLACE) LAYOUT

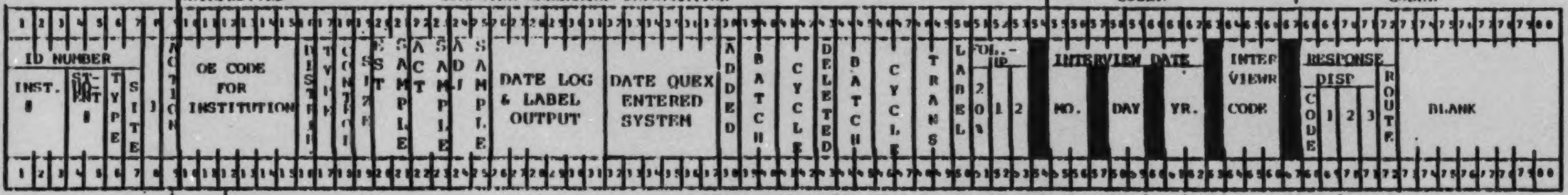
BEOG
0248

INITIAL
ENTRY:CODER
ALL OTHER
ENTRIES:VLD

STUDENTS/PARENTS
COMPUTER-GENERATED INFORMATION

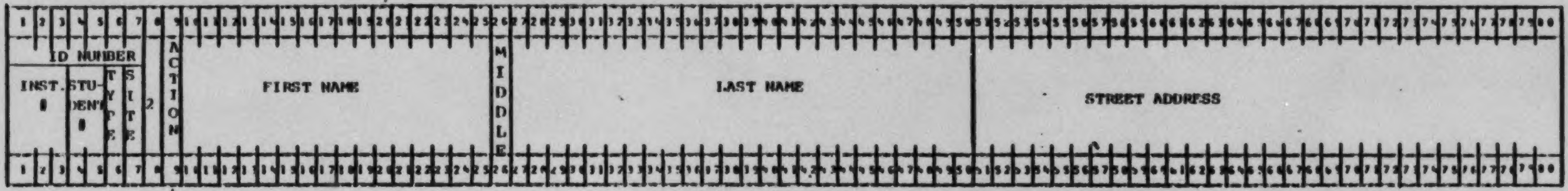
CODER

CODER

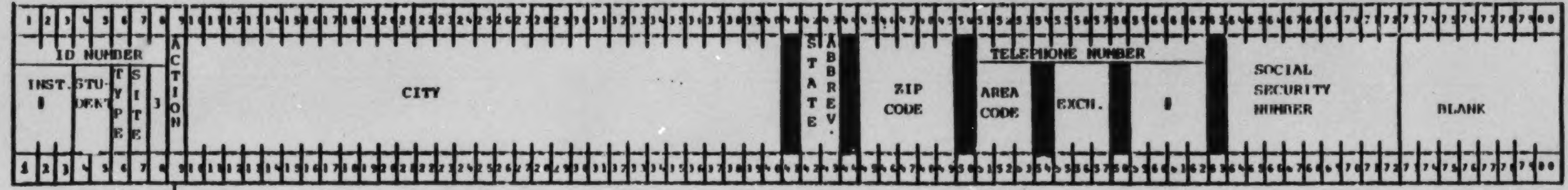


Ⱨ=initial entry
*=replace record or card

The coder will fill in the OE code for the institution at the time of entry into the system. This applies to the institution ONLY.



Ⱨ=initial entry
*=replace record or card



Ⱨ=initial entry
*=replace record or card

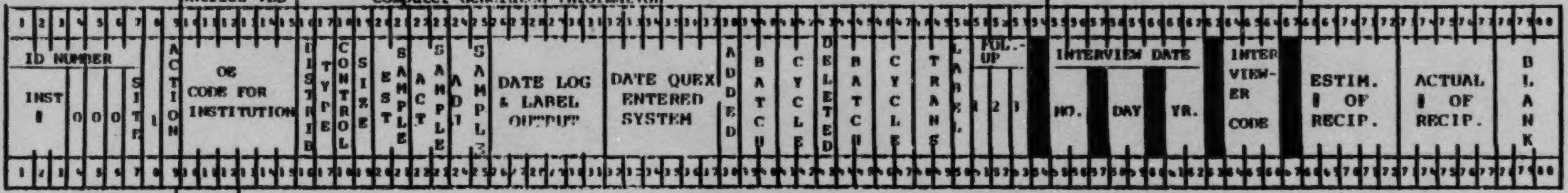
Exhibit 2-35. Survey control file (initial entry/replace) layout (continued)

BEOG
0248
10/78

Westat, Inc.

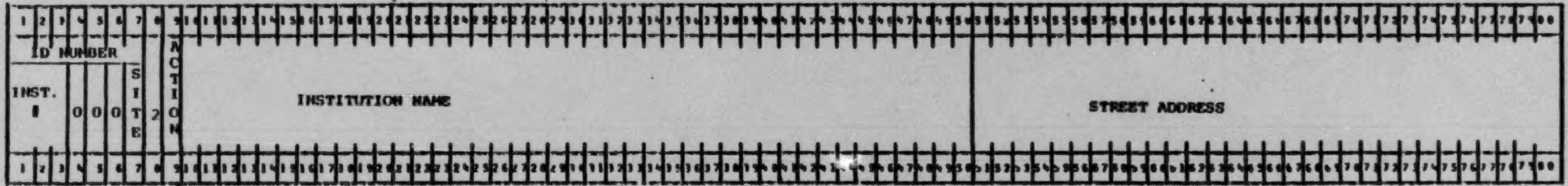
SURVEY CONTROL FILE (INITIAL ENTRY/REPLACE) LAYOUT

INSTITUTIONS

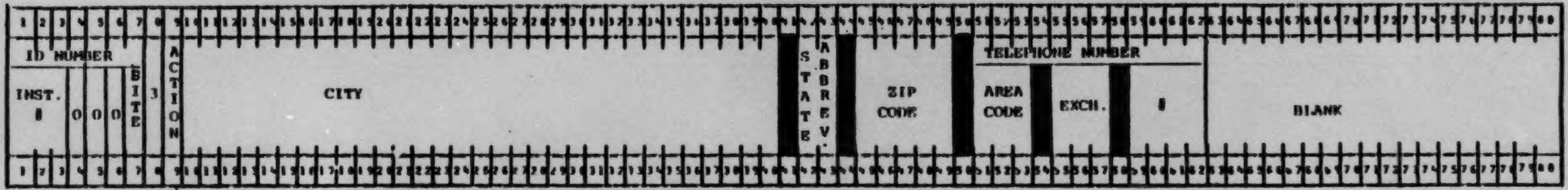


The coder will fill in the OE code for the institution at the time of entry into the system. This applies to the institution only.

b=initial entry
*=replace record or card



b=blank
*=replace record or card



b=initial entry
*=replace record or card

- Initial Entry (Add) and Replace (Exhibit 2-36)

  - Add

    If adding a record, there could not be a matching ID number existing on the file. If there was a second ID on the file, the information was replaced with what was being submitted. To make an initial entry, cards 1, 2 and 3 had to be present. The action code for adding new cards is BLANK (b̸) in column 9.

  - Replace/Alter (Exhibit 2-37)

    When replacing cards 2 or 3, all of the information for the card must have been coded, for this is not altering columns but replacing entire cards.

    When adding or replacing card 1, only the information that is required by the coder had to be coded.

    Columns 1-15
    Columns 55-72

    Columns 10-15 (OE code for the institution) did not need to be filled in if replacing, but must have been coded if making an initial entry.

2.5 Cleaning and Editing Subsystems

In order to clean the questionnaire batches, two programs were executed to update and edit all data. The UPDATE program was used to load all data entering the system for the first time, as well as alter the actual updates to the batches. The EDIT program used the specifications for range and logic errors to check all data and create an error report listing. Thus, all data passed through this cycle until it was determined to be clean, or error-free.

Exhibit 2-36. Coding instructions for card 1

Add or Replace Instructions

CARD 1: To be completed by coder partially.

Source	Column	Item	Allowable Values
Coder	1-7	ID number	
	1-3	Sequential Institution #	001-225
	4-5	Student Sample Number	00=institution 01-25=student/parent
Coder	6	Type of Questionnaire	1=independent student 2=dependent student 3=independent parent 4=dependent parent 5=ineligible student 6=ineligible parent
Coder	7	Site	1-9
Coder	8	Card Type	1
Coder	9	Action Code	b̸=initial entry *=replace
Coder/	10-15	OE code for institution (at the time of initial entry, the coder will fill this in, if not using the log sheets)	000001-

---

*The next 39 columns (16-54) will be generated by the computer.

Exhibit 2-36. Coding instructions for card 1 (continued)

Source	Column	Item	Allowable Values
	16	Distribution system	A=alternate R=regular
	17	Type of school	1=4 year 2=2 year 3=other
	18	Control of school	1=public 2=private 3=proprietary
	19	Size code	1=0-99 2=100-499 3=500-1,499 4=1,500-4,999 5=5,000+
	20-21	Estimated Sample Size	
	22-23	Actual Sample Size	
	24-25	Adjusted Sample Size	
	26-31	Date Label Generated	
	32-37	Date questionnaire entered into system	
	38	Form added or entered flag	
	39-40	Batch entered	
	41-42	Cycle entered	
	43	Form deleted flag	
	44-45	Batch deleted	
	46-47	Cycle deleted	
	48-49	Total update transactions	
	50	Label indicator	
	51-53	Followup flags	
	54	Blank	

Exhibit 2-36. Coding instructions for card 1 (continued)

Source	Column	Item	Allowable Values
Coder	55-62	Interview Date	
	55-56	Month	
	57	Blank	Blank
	58-59	Day	
	60	Blank	Blank
	61-62	Year	
Coder	63	Blank	Blank
Coder	64-66	Interviewer initials or code	
	67	Blank	Blank

*The coding of the next 13 columns (68-80) is dependent on whether it is an institution or student/parent record:

STUDENT/PARENT RECORD ONLY:

Source	Column	Item	Allowable Values
Coder	68-72	Disposition and Response Status	
	68	Disposition code	1-9
	69-71	Disposition code changes or followup	1-9
	72	Route Code	1=stay in Receipt Control 2=initial followup 3=edit/code
Coder	73-80	Blank	Blank

INSTITUTION RECORD ONLY:

Source	Column	Item	Allowable Values
	68-72	Estimated Number of Recipients	
	73-77	Actual Number of Recipients	
	78-80	Blank	Blank

Exhibit 2-36. Coding instructions for card 2 (continued)

CARD 2: To be completed by coder

Column	Item	Allowable Values
1-7	ID number	
1-3	Institution number	001-205
4-5	Student sample number	00-institution 01-25=student/parent
6	Type of questionnaire	1=independent student 2=dependent student 3=independent parent 4=dependent parent 5=ineligible student 6=ineligible parent
7	Site	1-9
8	Card type	2
9	Action code	ƀ=initial entry *=replace
10-50	Name of institution or student/ parent	
*Student/Parent record only:		
10-25	First Name	
26	Middle Initial	
27-50	Last Name	
51-80	Street address	

Exhibit 2-36. Coding instructions for card 3 (continued)

CARD 3: To be completed by coder

Column	Item	Allowable Values
1-7	ID number	
1-3	Institution number	001-205
4-5	Student sample number	00=institution 01-25=student/parent
6	Type of questionnaire	1=independent student 2=dependent student 3=independent parent 4=dependent parent 5=ineligible student 6=ineligible parent
7	Site	1-9
8	Card type	3
9	Action code	b̸=initial entry *=replace
10-40	City	
41	Blank	blank
42-43	State name abbreviation	
44	blank	blank
45-49	ZIP code	
50	blank	blank
51-62	Telephone number	
51-53	Area code	
54	blank	blank
55-57	Exchange	
58	blank	blank
59-62	Number	
*Students/Parents only		
63	blank	blank
64-74	Social Security Number	
75-80	blank	blank

Exhibit 2-37. Altering columns of data - alter instructions

Cards 1, 2 and 3

Alter Instructions

Column	Item	Allowable Values
1-7	ID number	
1-3	Institution number	001-205
4-5	Student sample number	00=institution 01-25=student/parent
6	Type of questionnaire	1=independent student 2=dependent student 3=independent parent 4=dependent parent 5=ineligible student 6=ineligible parent
7	Site	1-9
8	Card type	1,2,3
9	Action code	A=alter
10	blank	blank
11-12	Alter beginning in column: (NOTE: no part of the ID number may be altered)	10-80
13-14	For number of columns	1-65
15	blank	blank
16-80	Update data	

- **Special Instructions:**

  Code A '+' to alter data with blanks.

  Code A ' ' (blank) to leave data as is.

The UPDATE program used the survey control file as a monitoring system. It ensured that the ID's on the data matched those on the survey control file, checked for duplicate ID's, made sure that all 15 cards were present, and assigned a batch and cycle number to eliminate the possibility of data appearing on another batch. Error messages were produced for the above situations, as well as for describing the results of the updates.

After the data passed through the update program, it was checked for range and logic errors according the machine edit specifications (Exhibit 2-38). Range errors are indicated by printing the data of the card in error and asterisks under the fields that were in error. Logic errors were produced by printing the entire record with a code that appeared in a table that described the type of error.

Exhibit 2-38. BEOGS machine edit specifications: logic checks

LOGIC - SECTION A

Question Number	IF	THEN	MESSAGE
A1	1	A-2 should be answered	A001
	2,88888,99999	A-2 through A-11=blank	A002
A2	1	A-3, A-4, A-7, A-8 should be answered for each form 1-6.	A003
	2,88888,99999	A-3 through A-11 = blank	A004
A-4	1	A-5 & A-6 should be answered	A005
	2,8,9	A5 & A-6 should be blank	A006
A-5	01 through 12	A-6 should be answered	A007
	13,88,99 only	A-6 should be blank	A008
A-8	1,2	A-9 should be answered	A009
	3,8,9	A-9 should be blank	A010
A-12	1,2,3,4	A-13 should be answered	A011
	5,8,9	A-13 & A-14 = blank	A012
A-13	1	A-14 should be answered	A013
	2,8,9	A-14 = blank	A014
A-15	1	A-16 ≠ blank	A015
	2,8,9	A-16, A-17, A-18, A-19= blank	A016
A-21	1	A22,A23 ≠ blank	A017
	2,8,9	A-22,A-23 = blank	A018

Exhibit 2-38. BEOGS machine edit specifications: logic checks (continued)

SECTION B

	IF	THEN	MESSAGE
Box 5	Respondent type=3	Box 5 ≠ blank	B001
	Respondent type= 1,2,4	Box 5 = blank	B002
Box 6	Respondent type=2	Box 6 ≠ blank	B003
	1,3,4	Box 6 = blank	B004
B1-9	Respondent type= 1,2	B1-9 = blank	B005
	Respondent type= 3,4	B1-9 ≠ blank	B006
B10-20	Respondent type= 1,2	B10-20 ≠ blank	B007
	Respondent type= 3,4	B10-20 = blank	B008

Exhibit 2-38. BEOGS machine edit specifications: logic checks (continued)

EXAMPLE FOR SECTION B

Question	IF	THEN	MESSAGE
B1	1,2	B-1A & B-1B & B-1C should be answered	B009
	3,8	B1C should be answered B1A, B1B should be blank	B010
B1C	1	B1D should be answered	B011
	2,8,9	B1D=blank	B012
B2	1,2,3,8	B2C should be answered	B013
B2C	1	B2D should be answered	B014
	2,8,9	B2D=blank	B015
B-3	1,2,3,8	B3C should be answered	B016
B3C	1	B3D should be answered	B017
	2,8,9	B3D=blank	B018
B4	1,2,8	B4C should be answered	B019
B4C	1	B4D should be answered	B020
	2,8,9	B4D=blank	B021
B5	1,2,8	B5C should be answered	B022
B5C	1	B5D should be answered	B023
	2,8,9	B5D=blank	B024
B6	1,2,8	B6C should be answered	B025
B6C	1	B6D should be answered	B026
	2,8,9	B6D=blank	B027
B7	1	B7A,B,C should be answered	B028
	2,8	B7A,B=blank	B029
B7C	1	B7D should be answered	B030
	2,8,9	B7D should be blank	B031
B8	1	B8A,B,C should be answered	B032
	2,8,9	B8A,B - blank	B033
B8C	1	B8D should be answered	B034
	2,8,9	B8D = blank	B035

Exhibit 2-38. BEOGS machine edit specifications: logic checks (continued)

Question	IF	THEN	MESSAGE
B9	1,2,8	B9C should be answered	B036
B9C	1	B9D should be answered	B037
	2,8,9	B9D=blank	B038
B10	1	B10A,C should be answered	B042
	2,8	then B10A-D = blank	B043
B-10C	1	B10D should be answered	B044
	2,8,9	B10D,B11=blank	B045
B-11	1	B11A,B,C should be answered	B046
	2,8	B11A,B = blank	B047
B11C	1	B11D should be answered	B048
	2,8,9	B11D = blank	B049
B12	1,2	B12A,B,C for IS should be answered or B12C for DS should be answered	B050
	3,8	B12C should be answered	B051
B12C	1	B12D should be answered	B052
	2,8,9	B12D should be blank	B053
B13	1,2,3,8	B13C should be answered	B054
B13C	1	B13D should be answered	B055
	2,8,9	B13D=blank	B056
B14	1,2,3,8	B14C should be answered	B057
B14C	1	B14D should be answered	B058
	2,8,9	B14D=blank	B059
B15	1	B15C should be answered	B060
	2,8	B15A,C should be answered	B061
B15C	1	B15D should be answered	B062
	2,8,9	B15D = blank	B063

Exhibit 2-38. BEOGS machine edit specifications: logic checks (continued)

Question	IF	THEN	MESSAGE
B16	1	B16C should be answered	B064
	2,8	B16A,C should be answered	B065
B16C	1	B16D should be answered	B066
	2,8,9	B16D = blank	B067
B17	1,2,8	B17C should be answered	B068
B17C	1	B17D should be answered	B069
	2,8,9	B17D = blank	B070
B18	1,2,8	B18C should be answered	B071
B18C	1	B18D should be answered	B072
	2,8,9	B18D = blank	B073
B19	1,2,8	B19C should be answered	B074
B19C	1	B19D should be answered	B075
	2,8,9	B19D = blank	B076
B20	1,2,8	B20C should be answered	B077
B20C	1	B20D should be answered	B078
	2,8,9	B20D = blank	B079
B21	1,2,3,4,5	B21C should be answered	B083
B21C	1	B21D should be answered	B084
	2,8,9	B21D=blank	B085
B22C	1	B22D should be answered	B086
	2,8,9	B22D=blank	B087
B23C	1	B23D should be answered	B088
	2,8,9	B23D = blank	B089

Exhibit 2-38. BEOGS machine edit specifications: range checks

Question	VALID RANGES (Including Blanks)
A-1	1,2,88888,99999
A-2	1,2,88888,99999
A-3	01-08,888888,999999
A-4	1,2,8,9
A-5	01-13,8888888888,9999999999
A-6	1,2,8,9
A-7 DAYS	01-87
A-7 HRS.	01-24
A-7 MIN.	01-60
A-8	1,2,3,8,9
A-9	1,2,3,4,8,9
A-10	1,2,8,9
A-11	1-24,88,99
A-12	1-5,8,9
A-13	1,2,8,9
A-14	1,2,88888,99999
A-15	1,2,8,9
A-16	1,2,888,999
A-17	1,2,8,9
A-18	1,2,8888,9999
A-19	1-5,8,9
A-20	1-10,88,99
A-21 DOL. AMT.	1-800000,888888,999999
CODE	1,2,8,9
A-22	1,2,8,9
A-23	1,2,8,9

Exhibit 2-38. BEOGS machine edit specifications: range checks valid ranges (continued)

Question	
Box 5	1,2,8,9
Box 6	1,2,8,9
B-1	1,2,3,8,9
B1-A,B	1-9
B1-C	1,2,8,9
B1-D	1-5,8,9
B-2	1,2,3,8,9
B2-C	1,2,8,9
B2-D	1-5,8,9
B-3	1,2,3,8,9
B-4,C	1,2,8,9
B-4 D	1-5,8,9
B-5,C	1,2,8,9
B-6,C	1,2,8,9
B-6D	1-5,8,9
B-7	1,2,8,9
B-7A,B	1-9
B-7C	1,2,8,9
B-7D	1-5,8,9
B-8,C	1,2,8,9
B-8A,B	1-9
B-9,C	1,2,8,9
B-9D	1-5,8,9
B-10,C	1,2,8,9
B-10,A	1-9
B-10D	1-5,8,9
B-11,C	1,2,8,9
B-11A,B,D	1-5,8,9
B-12	1,2,3,8,9
B-12A,B	1-9
B-12,C	1,2,8,9
B12D	1-5,8,9
B13	1,2,3,8,9
B13C	1,2,8,9
B13D	1-5,8,9
B14	1,2,3,8,9
B14C	1,2,8,9
B14D	1-5,8,9
B15,C	1,2,8,9
B15-A	01-10,88,99
B15-D	1-5,8,9
B16,C	1,2,8,9
B16-A	01-10,88,99
B16-D	1-5,8,9
B17,C	1,2,8,9
B17D	1-5,8,9
B18,C	1,2,8,9
B18-D	1-5,8,9
B19,C	1,2,8,9
B19,D	1-5,8,9

Exhibit 2-38. BEOGS machine edit specifications: range checks valid ranges (continued)

Question	
B-20,C	1,2,8,9
B-20D	1-5,8,9
B-21	1-5,9
B-21C	1,2,8,9
B-21D	1-5,8,9
B22	1-20,88,99
B22-A	1-6,8,9
B22-C	1,2,8,9
B22-D	1,5,8,9
B23	1-29,88,99
B23A	1-6,8,9
B23-C	1,2,8,9
B23-D	1-5,8,9
B-24	1,2,8,9
B-25	1-20,88,99
B-25A,B	1-5,8,9
B-25C	1,2,8,9
B-25D	1-5,8,9
B-26	0-800000,888888,999999
B-26A,B	1-5,8,9
B-26C	1,2,8,9
B-26D	1-5,8,9
B-27 Res, Spouse	0-800000,888888,999999
B-27A,B	1-9
B-27C	1,2,8,9
B-27D	1-5,8,9
B-28	0-800000,888888,999999
B-28A,B	1-6,8,9
B-28C	1,2,8,9
B-28D	1-5,8,9
B-29	0-808000,888888,999999
B-29A,B	1-6,8,9
B29C	1,2,8,9
B29D	1-5,8,9
B30	0-800000,888888,999999
B30-A,B	1-9
B30-C	1,2,8,9
B30-D	1-5,8,9
B31	0-800000,888888,999999
B31-A,B	1-9
B31-C	1,2,8,9
B31-D	1-5,8,9
B32	1,2,8,9
B33	0-800000,888888,999999
B33-A-B	1-6,8,9
B33-C	1,2,8,9
B33-D	1-5,8,9
B34	1,2,8,9
B35	0-800000,888888,999999
B35-A,B	1-9
B35C	1,2,8,9

Exhibit 2-38. BEOGS machine edit specifications: rnage checks valid ranges (continued)

Question	
B35C	1,2,8,9
B35D	1-5,8,9
B36	0-800000,888888,999999
B36-A,B	01-08,88,99
B36-C	1,2,8,9
B36-D	1-5,8,9
B37A	1-6,8,9
B38	1,2,8,9
B39	0-800000,888888,999999
B39A,B	1-9
B39C	1,2,8,9
B39D	1-5,8,9
B40	0-800000,888888,999999
B40A,B	1-6,8,9
B40C	1,2,8,9
B40D	1-5,8,9
B41	1,2,8,9
B42	0-800000,888888,999999
B42A,B	1-9
B42C	1,2,8,9
B43	0-800000,888888,999999
B43A,B,D	1-5,8,9
B43C	1,2,8,9
B44	1,2,8,9
B45	0-800000,888888,999999
B45A,B	1-9
B45C	1,2,8,9
B45D	1-5,8,9
B46	0-800000,888888,999999
B46A,B,D	1-5,8,9
B46C	1,2,8,9
B47,C	1,2,8,9
B47D	1-5,8,9
B48	1,2,8,9
B49	0-800000,888888,999999
B49A,B	1-6,8,9
B50	1,2,8,9
B51	0-800000,888888,999999
B51A,B	1-4,8,9
B52	1,2,8,9
B53	0-800000,888888,999999
B53A,B	1-6,8,9
B54	1,2,8,9
B55A,B	1-3,8,9
B56	1,2,8,9
B57 Source	01-20
B57 Consistency	1,2,8,9
B58	1,2,8,9
B59 Spouse Income	0-800000,888888,999999

Exhibit 2-38. BEOGS machine edit specifications: range checks valid ranges (continued)

Question	
B60	0-800000,888888,999999
B60A,B,D	1-5,8,9
B60-C	1,2,8,9
B61A,B	1-6,8,9
B61C	1,2,8,9
B62	0-12,88,99
B62,AB	1-6,8,9
B62C	1,2,8,9
B62D	1-5,8,9
B63 Amount	0-8000,8888,9999
B63 Code	1,2,8,9
B63A,B,D	1-5,8,9
B63C	1,2,8,9
B64	1-12,88,99
B64A,B,D	1-5,8,9
B64C	1,2,8,9

Note: For Section B all questions which have comments and/or consistency answered, the valid codes are 1 or 2.

3. INSTRUMENT DEVELOPMENT AND PILOT SURVEY

The development of the student/parent instruments and the institutional instruments was based upon information from a number of sources, including:

- Program regulations, as described in the 1977-1978 BEOG Handbook and the Student Financial Aid Handbook which included:
    - Form completion instructions
    - Definition of terms
    - Computation procedures
    - Data handling and processing procedures
    - Eligibility and award determination criteria
    - Disbursement criteria and procedures
    - Reporting requirements
    - Confidentiality requirements
- Prior studies of the BEOG program, including prior validation efforts. This was useful in developing related forms and worksheets to conduct the verification activities, as well as some of the questions on institutional data handling and program administration practices which influence data quality.
- Congressional hearings on the BEOG program.

This information was supplemented by discussions with USOE personnel to ensure that the program regulations and definitions were clearly understood. Because of the great importance of the instrumentation effort to the overall study, we had continual contact with USOE as the instruments were developed, and we prepared several drafts before the final version for the field test was developed.

In addition to the basic instruments, several related forms or worksheets were developed. These forms included:

- Worksheets for recording all factors used in eligibility and award calculations,
- Detailed definitions of terms,
- Instructions for application completion and eligibility and award computations,
- Interview schedule,
- Checklist to ensure that all points are covered, and
- IRS request form.

Other related forms used to support the scheduling and control of the interviewing process also were developed as part of the data collection field effort.

3.1 Instrument Development

3.1.1 Student/Parent Instrumentation

The final student/parent instrument turned out to be much more difficult to develop than originally anticipated and was significantly more complex than preliminary versions. A number of issues had to be resolved before the preliminary versions were complete. Some of them were:

- Which sources of validating information should be utilized in this study?
- Should validating information be notarized?
- What are the minimum acceptable criteria for validating information?
- What strategies for collecting validating information should be employed in the instrumentation?

Still other considerations had to be taken into account during the many revisions, such as:

- Ensuring that response categories were in appropriate formats for the likely sources of information.
- Determining whether contextual questioning should be included and, if so, whether it should proceed or follow requests for factual information.
- Developing methods for structuring the open-ended response categories utilized for resolving discrepancies. It is expected that certain common explanations such as "I just guessed on my original application" or "I don't have the verifying information I had when I first applied" or "My circumstances have changed since the first application" could be encoded.
- Enlarging the set of questions concerning issues other than simply validation.
- Carefully cross-referencing the data elements collected in the instruments to the data requirements of the analysis plan.

In order to accomodate all these concerns, the student/ parent instrument had to include both closed- and open-ended questions, multiple skip patterns, and plenty of space for recording additional information.

3.1.2 Institution Instrumentation

The institutional interviews were intended to both verify computations and computation processes as well as to review the institutions' data handling, quality control, and program administration processes which influenced data quality. As such, a broad range of topics were covered during the interviews, including:

- Specific procedures used in computing awards, based on the four major steps outlined in the regulations:
  - Determining a student's enrollment status
  - Calculating the cost of education
  - Determining the scheduled award
  - Determining the expected disbursement
- Variations in the above among full- and part-time students,
- Methods used to recompute awards due to change in enrollment status,
- Methods and frequency of payments to students who have been awarded grants:
  - Payments made directly to students or applied as a credit to the student's account
  - Number and size of payments made
- Methods used to verify student eligibility for payment:
  - Receiving a valid student eligibility report
  - Monitoring student academic progress
  - Monitoring student enrollment status to determine award adjustments, if any
  - Monitoring other conditions which may make a student ineligible to receive an award (for example, default on any loans made by the institution)
- Methods used to monitor award computations and payments to ensure that they are correct:
  - Methods for assisting USOE in recovering overpayments
  - Methods used in computing refunds
- Assistance given by institutions to students using the alternate disbursement system:
  - Nature of assistance given
  - Problems encountered

To assist the interviewer in this regard, detailed interview instruments were prepared which listed relevant regulations and criteria concerning the institution's requirements in the award process. The interviewer used this checklist to determine if the institution was following the regulations and the supporting systems and procedures used by the institution, such as procedures used to determine changes in enrollment status or to verify eligibility.

3.2 Pilot Survey

A pilot test was conducted between September 20 and 22 to test the procedures for conducting the BEOG study and the instruments to be used in obtaining information for the study. This represented the second testing of the instruments after an informal initial test was conducted in early September.

The pilot test was conducted at three local institutions: Montgomery College, Howard University, and Lacaze-Gardner School. A total of 15 student cases were fielded, and 9 were completed. For parents, 15 cases were fielded and 11 were completed.

A complete report on the pilot study procedures can be found in Appendix C.

3.3 Instrument and Procedure Revision

Following the completion of the pilot test, a number of revisions were made to both instruments and the field procedures. Some of the procedural changes were:

- Developing an IRS form to obtain copies of respondents' 1977 tax forms,

- Including a "Documents to be Reviewed" form in the advance letter, and

- Three institutional contacts to complete sample selection of students and parents. In the first contact letter, we informed the institution of our need to obtain a copy of those receiving a BEOG. In the second contact, which was made by telephone three days later, we asked if the institution would have any difficulty in responding to the request. At the time of the third contact and when the list had been received at Westat, we telephoned to request a copy of the SER for each selected respondent. If at the time of the second contract it was found that the institution could not provide the list, a staff member was sent to the institution to create the list, select the sample, and obtain a copy of the SER.

3.4 OMB Clearance

The process for obtaining clearance of the study instruments was extremely time comsuming. Many revisions of the OMB package were developed before final approval was obtained.

A complete copy of the OMB package is available in the BSFA office.

4. FIELDING THE SURVEY

4.1 Advance Preparation

In addition to developing instruments, forms, materials, procedures, and staffing and sampling methodology for a study, many other critical items also are a necessary part of the preparation needed to successfully put a study into the field. While it is always necessary to make revisions in any of the above-mentioned items, the revision process does not end at the onset of field operations. Indeed, it may continue throughout the course of field operations. The numerous types of support services that contributed to the advance preparation for fielding the BEOG survey are described in the following subsections.

4.1.1 Setting Up a Communications Network

With a national field study it is always necessary to explore all possibilities in terms of communication. The BEOG survey required a great deal of mailing and shipping of materials into and out of the Rockville office. In addition to the U. S. Postal Service, we gathered information on and used the postal system of Express Mail, which guaranteed next-day delivery. Because this service was limited to major and secondary ZIP code areas, alternative means of shipment also were explored and used. United Parcel Service (UPS), Federal Express and Emery Air Freight were used to deliver most packages because they offered six things the postal service could not offer: daily delivery until 8 p.m. or later, Sunday delivery, delivery of items with the entire contents present and intact, quick and complete search procedures for lost items, refunds for items not recovered, and knowledgeable and helpful personnel. Although their services usually charged more than the postal service, the benefits of their use greatly outweighed the costs.

Telephone communication with survey respondents made it necessary to install a separate phone line strictly for use by BEOG respondents who wished to ask questions or obtain information about the survey. More detailed information regarding the operation of this special line can be found in section 4.8.

4.1.2 Training Site Arrangements

The preparations required to set up five training sessions involving interviewers, supervisors, and staff members occupied much of the administrative field supervisor's time during the months of November and December. With the help of the Westat travel agent, The Travel Office, locations had to be chosen on the basis of capacity for handling the number of people in the party, providing the necessary equipment, service, and space, and doing so during the dates selected for training in the various locations. All of the arrangements also had to fall within the training budget. This job was severely complicated by the dates selected for interviewer training, which fell between Thanksgiving and Christmas. Because of this problem, the final hotel selection represented less than our optimum choice in regard to location, quality, and cost.

4.1.3 Travel Arrangements

Once the training sites had been selected, the monumental job of arranging air, train, and local travel for all persons attending training had to be tackled. This operation was handled completely by The Travel Office under the direction of the BEOG administrative field supervisor. Individual reservations and issuance of prepaid tickets reduced the complications of placing the financial burden of the trips on the supervisors and interviewers. The Washington, D.C. interviewer training session took place directly after the Thanksgiving holiday weekend. After much diligent work, The Travel Office finally managed to schedule all interviewers with some mode of transportation that would get them into Washington by Monday afternoon, the first day of training. That training session proved to be the hardest to arrange. Other arrangements went more smoothly. The policy with The Travel Office is to give them the names, departure locations, and phone numbers of all persons scheduled for each training session in order for the travel agent to establish contact with each individual to confirm reservations or work on alternate travel times, departure points, routing into the designated area, or handling of special problems or requests. The Travel Office reported all confirmed reservations and traveler contacts to the administrative field supervisor to let the project staff know when to expect each person to arrive.

Aside from planning and pre-paying all items involved in training, set up, and travel, The Travel Office also handled any problems that developed in regard to accommodations and reservations.

4.1.4 Materials Printing and Reproduction

The coordination and production of all printed and reproduced materials, as well as all of the shipping arrangements to each training session, were handled by the research assistant assigned to the study. Each individual item was classified by its need for printing or photocopying. The planning of sufficient numbers of all materials, plus extra copies, careful checking as to the numbers and contents of boxes being shipped, and the careful arrangement of delivery times and places were handled by the research assistant and other support staff members. All supplemental orders of materials and their disbursements, upon arrival, were handled in the same fashion.

4.2 Regional Supervisor Recruitment

4.2.1 General Qualifications

In reviewing candidates for the position of BEOG regional supervisor, the following criteria were considered:

- Knowledge of survey operations,
- Significant interviewing and/or other public contact experience,

- Previous supervisory experience or other demonstrated management capabilities,
- Capacity for learning, knowledge of training methods, and ability to work in a trainer's role,
- Pleasant personality, especially telephone manner, and general ability to work effectively with others, and
- Central geographic location and travel mobility within the region.

Each supervisor also was required to perform all interviewing duties, as well as run a regional office, maintain the survey's reporting and production flow, and effectively use the time of an editor/office assistant to back up these efforts. Supervisors had to be alert to early signs of staff deficiencies or other problems that could seriously affect the production, and hence, the outcome of the survey. Understanding of the physical logistics of the region was a must for effective decisionmaking regarding assignments, travel possibilities, interviewer production variances, and special staffing needs such as knowledge of other languages spoken in a sampled area. Essentially the supervisor must know his/her turf and all of its different characteristics. Familiarity with some of the sampled schools was desirable, as well as any knowledge of the BEOG program or other grant programs.

4.2.2 Candidate Identification

Locating suitable supervisory candidates for the BEOG survey involved the use of Westat's manual and computerized file of persons who had supervised for other Westat studies. Highest consideration was given to those supervisors who had worked with education studies. Another excellent source of supervisors that unexpectedly surfaced was the field staff of our South Bend, Indiana site office, which was in the process of phasing out personnel for a survey that had been completed. Recent supervisory applications and internal recommendations also were used to identify potential candidates.

Information on supervisors previously hired to work on Westat projects (using already established criteria) is contained in our Field Personnel File system. The file system has two components:

- A computerized file system lists each supervisor's demographics, availability, experience, and summary project performance evaluations.
- Each supervisor also has a file folder which contains his/her application, more extensive project performance evaluations, employment forms and any other pertinent forms or correspondence. These files are used for detailed backup to the computerized system.

During the process of candidate identification, high consideration was given to staff members being phased out of our South Bend site office. Notices of position openings based out of the Rockville office were sent to all South Bend employees who had expressed an interest in continuing with the company. Several qualified persons at the South Bend office were made aware of our recruitment efforts for the BEOG survey and were asked to be considered for regional supervisor positions.

The recommendation of potential employees by the permanent and temporary staff members at Westat is always an excellent source of locating qualified applicants who have not worked with Westat before. This method of identifying qualified candidates is particularly valuable because a full background on these new applicants can be obtained immediately from a known, reliable source. The use of internal recommendations is always preferable to newspaper advertising or other methods of candidate identification, and is far less expensive in terms of time and money.

4.2.3 Selection of Regional Supervisors

The field director conducted extensive interviews with approximately 25 candidates and selected the 6 regional supervisors based on the outcome of those interviews. Three of these supervisors were selected from the field staff files, two came from our South Bend office, and one was highly recommended by several staff members. Geographically, the supervisors were located in New York City; Tampa, Florida; South Bend, Indiana (2); Minneapolis, Minnesota; and Los Angeles, California. Five of the six supervisors had previous supervisory experience, and one had been an excellent trouble-shooter and traveling interviewer who had proven abilities to manage large amounts of work effectively.

4.3 Supervisor Training

The purpose of supervisor training was to instruct the supervisors on the use of the questionnaire and all forms associated with its use, the techniques to be used in interviewer recruitment, the role they were to play at interviewer training, and the various responsibilities and procedures related to managing their region during the field period. The two components of training were home study and attendance of a five-day training session at Westat.

Copies of all survey materials and a set of detailed guidelines for regional supervisors were mailed to each supervisor the week before training began. Those items were to be read and reviewed before attending training.

The structure of Westat's training session was as follows:

Day 1:	Overview of the BEOG study, staff organization, field schedule and the role of the supervisor.
Day 2:	Administrative procedures in making assignments, receiving completed materials, quality control and home office communication.
Day 3:	Reporting procedures, returning closed-out materials, and comprehensive study and review of Section A of the questionnaire.
Day 4:	Comprehensive study and review of Section B of the questionnaire and interviewer training techniques and procedures.
Day 5:	Interviewer recruitment procedures, open review of any points of difficulty, and actual telephone screening and hiring interviewer candidates from the Westat files.

The training techniques used by Westat staff involved a combination of lecture, interactive lecture (speaker involves the supervisors in the material being discussed), role playing with a continuous switch of partners, and open discussion of any questions raised. Five trainers, the project director, field director, assistant field director, administrative field supervisor, and survey control supervisor shared the duties of training the regional supervisors. The almost one-to-one ratio of project staff to supervisors made all operations flow more smoothly and guaranteed coverage of all questions being raised by the regional supervisors. The point was made each time questions were raised to expect the same questions to come from the interviewers at training. This method of exchange feedback promoted a higher listening level that prevented the same questions from being asked over again and demonstrated an interviewer training technique that all supervisors needed to be thoroughly familiar with. During the week of training, time was spent each evening reviewing material to be covered the next day.

The one-week time lag between supervisor training and the first interviewer training session served as a reinforcement training session in itself. Supervisors were to review the questionnaire to establish complete knowledge of both sections, set up preliminary office arrangements at their homes, work on interviewer recruitment for the second and third interviewer training sessions, and study the Interviewers' Manual.

4.4 Interviewer Recruitment

Immediately following the establishment of the dates for supervisor and interviewer training, the recruitment process for BEOG interviewers was initiated. Methodology was formulated by the administrative field supervisor and carried out with the help of the regional field supervisors.

4.4.1 Interviewer Qualifications

Westat's established standards for field interviewers are quite demanding. In seeking applicants for any type of position, it is necessary to spell out in detail the qualifications needed to perform the job. When seeking good candidates for interviewing work, it is essential to keep in mind that a high school degree does not necessarily qualify an applicant to be an interviewer, nor can it be assumed that because an applicant does not have a high school diploma that s/he cannot perform well in the role of interviewer. The following is a list of qualifications used in recruitment of interviewers who worked on the BEOG study.

- Must have ability and willingness to work at least 35-40 hours per week.
- Must be responsible and not require full-time supervision.
- If bilingual, must have ability to read, comprehend and communicate in the foreign language as well as in English.
- Must have a certain amount of mathematical skills.
- Must own or have use of a car, and must have a valid driver's license (supervisor discretion can be used in cities with excellent public transportation facilities).
- Must be available and willing to do much weekend and evening work.
- Must be willing to travel to nearby cities, or anywhere else within 50 square miles of their home area. (While this was not required of all interviewers, a number of interviewers available for travel was needed.)
- Must be somewhat outgoing and good at meeting people.
- Must make a professional appearance.

- Previous interviewing experience or other experience involving contact with the public was desirable.

- Must be in good physical condition. Interviewing is hard work, sometimes requiring the interviewer to work long hours conducting several interviews back to back with little or no time between appointments. The work may sometimes involve climbing flights of stairs; bucking snow, sleet, heavy rain and extreme heat; and walking and standing for hours at a time.

- Must be sensitive to the subject matter and reasons for conducting the study, and must be able to deal with respondents who may not relish the idea of doing the interview but who are complying somewhat against their own will.

Because the BEOG survey involved interviewing many college students and their parents, we absolutely could not hire student interviewers who were attending or had recently attended any of the schools selected for the survey. This rule was established in order to maintain strict confidentiality throughout the survey.

4.4.2 Recruitment Sources

Westat's computerized file of interviewers was used to generate mailing labels for all interviewers with good ratings who lived in or near the sampled school areas. Those persons were sent a letter inquiring about their availability to work on the survey, an availability sheet to be filled out and returned to Westat, a return envelope, and a memo outlining the study requirements and giving general information that would be of interest to any new applicants referred by our interviewers (see Exhibits 4-1 through 4-3).

A list of sampled areas where Westat had few or no interviewers was made. Westat supervisors, contacts at other research companies, and internal references were consulted by the administrative field supervisor for names and phone numbers of experienced interviewers in these areas or other persons who might be interested in working as a field interviewer. In those places that still presented no leads of any kind, newspaper ads were placed (Exhibit 4-4).

Westat interviewers who returned availability sheets stating that they would be able to work on the BEOG study were hired by the regional supervisors or the administrative field supervisor, placed in a training group nearest to their home, and sent home study materials. New applicants and referred persons were screened by telephone to determine their suitability as an interviewer.

Exhibit 4-1. Letter to interviewers

Westat, Inc.
11600 Nebel Street
Rockville, Maryland 20852
Telephone 301-881-5310

October 31, 1978

Dear Westat Interviewer:

Westat is currently recruiting interviewers for a national education survey that will be conducted from late November through March. We obtained your name from our active interviewer files and thought you might be interested in working in the capacity of a field interviewer. Please read the enclosed information and let us know if you are interested in this potential assignment by returning the availability sheet in the enclosed envelope. If you are interested in working on this study, use this form to summarize the extent of your availability during the study's time period and any experiences you have had which might be relevant to the study.

If there is anyone you know in your immediate vicinity that you think would make a good interviewer, and would be available during the field months of this study, please let us know by entering the individual's name, address and telephone number on the attached sheet.

As usual, we are assessing interviewer availability for other projects that will go into the field after the first of the year. Because our interviewer needs vary by site, it is not possible to use all of the interviewers in any one area on this study. Everyone who replies to this inquiry will be kept in mind for other studies whether they are are hired for this one or not.

Please note that all former Westat interviewers who have worked on any Westat project during 1977 or 1978 will not be required to complete try-out questionnaires. This requirement outlined in the Memo to Interviewer Applicants only applies to new personnel. Upon receipt and review of your availability sheet you will be notified of our decision.

We look forward to hearing from you.

Sincerely,

James Ter Maat

James Ter Maat
Assistant Field Director
Basic Educational
Opportunity Grant Study

Exhibit 4-2. Availability sheet

AVAILABILITY SHEET

Name ____________________

Address ____________________

____

Phone ____________________

☐ I will be available to work on the BEOG study.

☐ I will not be available to work on the BEOG study, but I would like to be considered for other studies.

If you are available to work on this study, give a general indication of your availability between the last week of November and March. Mention any major commitments you might have for this time period.

____

____

____

If you are available to work on this study, describe any recent experiences you have had which might be relevant to the BEOG study.

____

____

____

ALL INTERVIEWERS

Please provide us with the name, address and phone number of anyone in your area that you think might make a good interviewer and would be available during the field months.

name	address	area code/phone
name	address	area code/phone

Westat, Inc.
11600 Nebel Street
Rockville, Maryland 20852
Telephone 301-881-5310

Exhibit 4-3. General information

TO THE INTERVIEWER APPLICANT

As an Interviewer Applicant there are several things you should know about surveys in general, about your potential employer Westat, Inc., the Basic Educational Opportunity Grant (BEOG) Quality Control Study, and personal interviewing before formally applying for an interviewing position. The following information is provided to give you the necessary information on which to base your decision.

1) SURVEYS - Surveys are one of many methods used for gathering information about a population. They involve the asking of a series of questions to a number of people who are chosen as respondents because, taken as a group, they accurately represent the characteristics of the population being studied. The answers to these questions are then organized and analyzed. From this analysis, it is possible to infer information about the entire population.

2) WESTAT, INC. - Westat, Inc., founded in 1961, is a well established, full service consulting and research firm whose main office is located in the Metropolitan Washington, D.C., area (Rockville, Maryland). To conduct the BEOG study, Westat will establish a number of regional sites around the country coordinated by a supervisor.

   Westat is widely recognized as one of the leading research firms engaged in survey and market research, mathematical and statistical analysis, and computer applications. Our clients include various government agencies and organizations, private corporations and universities, institutions and other non-profit organizations.

3) THIS STUDY - The Basic Educational Opportunity Grant study is being sponsored by the Division of Quality Assurance of the Bureau of Student Financial Assistance of the U. S. Office of Education. Westat research in conjunction with MACRO Systems, Inc., is under contract to the Statistical Analysis Section of the Division of Quality Assurance for the personal interviews with participating students, parents, and institutions.

   Westat will be conducting interviews with students and parents/guardians of students receiving a Basic Educational Opportunity Grant. During the course of these interviews, information concerning grant applications and awards will be obtained to determine whether the sampled students are receiving the proper grant amounts.

4) NO PREVIOUS INTERVIEWING EXPERIENCE IS REQUIRED - All applicants hired will be personally trained by Westat Instructors.

Exhibit 4-3. General information (continued)

5) THE INTERVIEWER's ROLE - The job of the interviewer is to administer the questionnaire, exactly as written, to the respondents she/he has been assigned. The interviewer records respondents' answers, following a specified format, and returns the completed interviews to either his/her immediate supervisor or the Westat Rockville Office. Additionally, interviewers may be asked to locate addresses for potential respondents as well as obtain certain information from institutional files.

6) DURATION OF INTERVIEWING - The designated time period to complete a survey is determined by the size of the study (number of people to be interviewed) and the number of interviewers assigned to that study. This survey is scheduled to be conducted during the months of December through March. Some regions of the country will complete early in the field period depending on interviewer staff size and other factors.

7) HOURS OF WORK AND ASSIGNMENT SIZE - Our experience indicates that the most productive interviewers work between 35 and 40 hours. The number of assignments an interviewer is given depends largely upon the number of hours she/he is available for interviewing.

8) SCREENING OF APPLICANTS AND SELECTION PROCESS - In order to be considered for an interviewing position, new applicants will be required to complete an application form. Experienced Westat interviewers need only complete the special form attached to this memo. After a review of all applications, applicants will be asked to come in for a personal interview with the recruiter (attendance is not required if you have worked for Westat during 1977 or 1978) to help the survey staff members measure his/her ability to perform the tasks of an interviewer. If a recruiter does not reside in your immediate vicinity, a telephone interview will be conducted. During the interview the recruiter will review with you your general qualifications, answer any questions you may have, and provide an overall evaluation. Applicants selected after the telphone or personal interview will enter into a probationary training period which will last until the completion of their "trial interview" to be done at the conclusion of training. If this is satisfactorily completed the applicant will be hired as a field interviewer for Westat.

9) TRAINING PROCEDURES - Applicants are selected for training on the basis of a completed application and a personal or telephone interview with a Westat recruiter. Those who qualify after completion of these two activities will enter our training program which will be conducted at various regional sites to be designated at a later time. Training is scheduled to last for approximately five days with at least 7 to 8 hours per day in classroom instruction. It is strongly suggested that the interviewer candidates plan to spend at least one to three hours (as needed) of home study each night five days prior to and during training. These hours have been included in your training

Exhibit 4-3. General information (continued)

allowance. After completion of "classroom" training, each applicant is required to conduct a trial interview to complete the total training program. Over the five day training period, an applicant can expect to spend at least 50 to 60 hours becoming familiar with interviewing techniques (the total number of training hours includes home study time).

10) PAY ARRANGEMENT - Interviewers are paid on a weekly basis at a graduated rate based on their previous social survey interviewing experience. The beginning rate is per hour. A flat rate will be received for the training period; however, the usual rate of per mile reimbursement is not chargeable during training if the session is held within 30 miles of your home. If you are required to leave your city of residence to attend a session, your travel cost and daily per diem will be provided.

There will be a one week delay in receipt of your first weekly check due to the required accounting processing time.

11) ITEMS TO NOTE BEFORE FILING AN APPLICATION - You should review the following requirements for employment before filling out an application:

- be available for an entire training session,
- be able to furnish your own transportation during the field period,
- be prepared to work 35 to 40 hours per week,
- be available for interviewing in the evening and on weekends,
- be available to take assignments within a 30 mile radius of your city of residence, and
- be available for the duration of the survey field period (approximately 4 months).

Additional work with Westat is contingent upon satisfactory completion of the present assignment for which you have been hired.

We have attempted to answer many of the questions we feel you may have regarding Westat and the interviewing position. If you have any additional questions note them on the reverse side of this page and mention them to the recruiter when you are contacted.

Exhibit 4-4. Newspaper ad for interviewers

INTERVIEWERS

Westat Research needs interviewers to work on an education study to be conducted in   and the surrounding counties from Dec. through Feb. You must have a car and be available full time, 35-40 hrs./wk., including some evenings and weekends. No part time accepted. You must also be able to attend a 5 day, expense paid training session out of town during the 2nd week in Dec.   Previous experience preferred but not necessary. For further information call Ms. Cross collect at (301) 881-5829. An equal opportunity employer M/F.

4.4.3 Screening Interviewer Applicants

New interviewer applicants were screened by the administrative field supervisor or a regional supervisor by telephone. Persons who were referred by recruitment sources were told the name of the person or company who referred them to Westat and asked the series of questions on the Telephone Screening Form for Interviewer Applicants (Exhibit 4-5). Additional questions were asked as necessary by the recruiter. Persons who had answered our newspaper ads and returned an employment application were questioned more extensively using the screening form and their application as a guide for asking additional questions. In some cases persons were eliminated based on their application alone. Those who looked promising on their application were called.

In a few sites, the size of the area to be covered by potential interviewers was an issue that was discussed in detail. Large counties, two or three adjacent counties, and counties separated by another county but close to each other made this an important consideration for travel time and wear and tear on cars. In all northern areas, and any other areas that were plagued with heavy snow, the weather during the field period also was a decisive factor. Applicants had to be willing and able to operate a vehicle in places with heavy snowfall for a week or more during the winter.

Much of the judgment of how suitable an interviewer would be rested on their telephone presentation during screening. Because interviewers were required to complete a telephone review for documents and to make interview appointments by phone, voice and telephone manner were quite important. Careful note was made of any potential problems with verbal communication. Any questions the applicant wished to raise during the screening process were answered at the end of the screening conversation.

Exhibit 4-5. Telephone screening form for interviewed applicants

TELEPHONE SCREENING FORM FOR INTERVIEWER APPLICANTS

Name of Applicant ______________________ Date ______________

Phone # ______________ P.S.U. Name and Number ______________

Recruiting Supervisor ______________ Study Name & Number ______________

1. Qualifications:

	Yes	No
a. Interviewing experience	___	___
b. Listing experience	___	___
c. Extensive public contact	___	___
d. Pleasing phone manner	___	___
e. Available full time	___	___
f. Available evenings and weekends	___	___
g. Can attend training	___	___
h. Has a car	___	___
i. Has telephone at home	___	___
j. Will work in any area	___	___
k. Will tavel outside of area	___	___
l. Experience with maps	___	___
m. Available entire field period	___	___
n. Within site radius	___	___

2. References

Referred by ______________________ References Checked Yes No

Date called or sent ______________

3. Telephone Interviewer Decision

Definitely NOT hire ← 1 2 3 4 5 6 7 8 9 10 → Definitely hire

Rejected __________ Hold for Backup __________ Hired __________

4. Comments ____

4.4.4 Hiring Interviewers

As noted before, experienced Westat interviewers were rehired for the BEOG study based on their prior performance. Hiring calls to these interviewers were placed first in order to determine the number and location of the remaining interviewers needed. Several sites were completely staffed during this first round of calls.

The second set of hiring calls was placed to experienced interviewers who had been referred to Westat. In some cases, persons in this category who had presented themselves quite well during the screening call were hired at the end of that call. When several candidates were being considered for areas needing only one or two interviewers, each person referred was screened to determine the best candidate(s) of the group.

Depending on the number of interviewers needed and the number of applications received, new applicants were hired to work in those areas where no experienced interviewers had been found. Ten areas existed in the sample that had never been used by Westat for field interviewing purposes. A complete staff of new interviewers was hired to work in six of these areas. The four remaining areas were staffed with experienced interviewers who had not worked for Westat before. Due to the high rate of attrition among inexperienced interviewers, extreme care was taken in staffing entire sites with inexperienced persons. Some statistics on numbers of interviewers are given in Exhibit 4-6.

Of 113 interviewers initially hired, 49 were Westat interviewers, 36 were experienced interviewers referred to Westat, and 28 were inexperienced new hires. Later in the field period, four traveling trouble-shooters were hired and one clerk/editor was converted to an interviewer.

Exhibit 4-6. Interviewer statistics

Interviewers	Training session						
	D.C.	LA	Chicago	Atlanta	Backup	Total	Experience level*
Hired	31	26	30	26	4	117	W-53, E-36, N-28
Trained	31	26	28	25	4	114	W-53, E-33, N-28
Worked	28	22	21	24	4	99	W-51, E-31, N-18
Didn't work	3	4	9	2	0	18	W-2, E-5, N-10
quit	2	1	5	1	0	9	W-2, E-1, N-5
released	1	3	2	0	0	6	W-O, E-1, N-5
**No show	0	0	1	1	0	2	W-O, E-2, N-0
***Other	0	0	1	0	0	1	W-O, E-1, N-D

*Experience level
W=Westat interviewer
E=Experienced interviewer
N=Inexperienced, newly hired
**Person hired did not show up for training
***One person left training due to death in the family

4.5 Interviewer Training

Before the start of the field period, four large training sessions were held. Each session lasted five days, Monday through Friday, and presented all material relevant to the job of BEOG interviewer. These training sessions were held in Washington, D.C., November 27 to December 1, 1978; Los Angeles, California, December 4 to December 8, 1978; Chicago, Illinois, December 11 to December 15, 1978; and Atlanta, Georgia, January 8, to January 12, 1979. During the first week of March 1979, a back-up training session was conducted in Chicago for four traveling trouble-shooters who were hired to clean up areas with significant amounts of work remaining to be done.

There were several basic training modes that Westat used to train interviewers for the BEOG survey: home study, interactive lecture to a large group, interactive lecture to a small "learning" community, role playing, written exercises, and a full walk-thru or mock interview with a staff member. Remedial work also was done on an as-needed basis. The following describes each of these modes and gives examples of the types of material presented with each.

4.5.1 Home Study

Westat's home study materials were designed in the form of programmed learning texts with learning exercises interspersed throughout an instructional manual. In using a home study package, a trainee would read a section of the manual (white pages) and then complete a set of exercises (colored pages) which related to the material just read. The exercises required the trainee to use the concepts presented in the reading material. Answers to all exercises were printed on the same exercise pages so that trainees could check their answers and correct any errors immediately. When the entire home study course was completed, the colored exercise pages were removed from the manual and turned in at the start of training. They were then checked for completeness and accuracy by the regional supervisors. The white pages remained as a reference manual for the trainee.

4.5.2 Interactive Lecture to a Large Group

The technique of interactive lecture to a large group is typically used for the initial presentation of the basic concepts of a questionnaire or a section of a questionnaire. The lectures were presented from a carefully developed and fully documented script. After an opening explanation of the concepts to be covered in the lecture, the lecturer led the trainees through the questionnaire by calling on trainees to act the role of interviewer while the lecturer played respondent. Each trainee recorded the responses in his/her own blank copy of the questionnaire while a member of the training staff recorded responses on a transparency which was projected on a screen at the front of the training room.

Trainees were reminded after each question to check their recording against the screen. Training staff members moved about among the trainees to check recordings and generally to get a feel for how trainees were progressing.

The technique of interactive lecture to a large group is usually used to introduce and overview new materials. Hence, a very simple scenario was used. The script was based on a respondent for whom the skip patterns were fairly easy and no unusual or complex problems were incorporated. The use of the interviewer's manual was kept to a minimum at this stage to provide for a relatively uninterrupted "flow" through the questionnaire. In addition, trainees were not encouraged to ask questions during the interactive lecture, since most questions could be handled more effectively in the learning community setting.

Only one or two concepts in a section of the questionnaire were presented at each interactive lecture session. Immediately following, community work and role playing were done on these concepts before beginning another interactive lecture.

4.5.3 Interactive Lecture to a Small Community

An important aspect of Westat's approach to interviewer training was the use of small learning communities for much of the training session. Each community was made up of several trainees (6 to 10) and a community leader (usually a field supervisor) who was responsible for directing and reinforcing the learning of the trainees in the community. Small learning communities enabled each trainee to participate more fully in the training experience, and provided an environment which encouraged all trainees to ask questions and clear up problems. In addition, the small size of the group enabled the community leader to monitor each trainee's progress more effectively.

When an in-person training session broke up into communities, the community leaders proceeded with the training using interactive lecture scripts specifically designed for this purpose. At this stage, the lecture scripts became more complex, with increasingly difficult protocols employed. Trainees were encouraged to bring up all questions and clear up any areas of confusion. The scripts used by community leaders included frequent references to the interviewer's manual. When these references were made, one trainee was asked to read the relevant portion of the manual aloud while the others followed. This technique reinforced the trainees' use of the manual by showing them the extent to which the manual included the answers to questions and problems which they would encounter in the field. The community leaders' interactive lecture scripts were used to present the most complex problems that the trainees were likely to encounter.

4.5.4 Role Playing

After the trainees had been through a section or sections of the questionnaire several times with the community leaders, they were paired for purposes of role playing. Within each pair, one trainee took the role of interviewer while the other played respondent, using a prepared script. They then reversed roles, using a second prepared script. The training staff moved about the room during the role-playing to answer questions and check progress. Trainees playing the respondent role were cautioned not to coach the ones playing interviewer but, as much as possible, to create a true interviewing situation. The scripts were written to present a variety of different respondent types and interview situations.

After the trainees had gone through the full cycle of interactive lecture, community work and role play for each section of the questionnaire, a new set of role play scripts was provided to them and they were allowed to do a full interview, going through the entire questionnaire without interruption for the first time.

4.5.5 Exercises

Exercises were used at the five training sessions to reinforce the learning of particular concepts. For instance, to aid in teaching trainees how to fill out a call record, an exercise was presented in paragraph form with all the information provided. The use of similar exercises was incorporated into teaching trainees how to probe answers effectively and neutrally, how to correctly transcribe numbers from documents, and how to handle simple and difficult situations that developed when contacting or interviewing respondents. On the last day of training, a comprehensive written exam also was administered to each trainee.

4.5.6 Questionnaire Walk-Thru and Evaluation

The afternoon and evening of the fourth day of each training session was spent conducting a full mock interview, a walk-thru, with each interviewer trainee. The Westat staff members played the role of respondents using a script and verification documents. One hour was allowed for each walk-thru and the use of a staggered schedule allowed the trainees time to study before and/or after they conducted this mock interview. Each staff member gave feedback on points needing improvement and areas in which each trainee had done well at the end of the walk-thru.

After each walk-thru had been completed, a written evaluation of the trainees' ability was prepared by the staff member who had been the respondent (see Exhibit 4-7). When all walk-thrus were completed, the staff met to discuss and evaluate each trainees' performance individually and to decide whether any trainees needed to repeat the process. Second walk-thrus were recommended for trainees who had not done well on the first. They were used to determine whether particular trainees should be retained as an interviewer or released because of poor performance.

Exhibit 4-7

INTERVIEWER WALK-THRU EVALUATION

Interviewer Name:

Respondent Name:

Length of Interview: Length of Discussion:

General Techniques:

Introduction (i.e. courteous manner):

Physical Appearance (i.e., badge; neatness):

Location chosen to conduct the interview:

Delivery (i.e., reading skills; voice):

Preparation (i.e., supply of modules; pens):

Specific Procedures:

Using the Questionnaire

Followed proper skip patterns:

Asked relevant questions:

Recorded verbatim:

Probing:

Answering Respondent questions:

Reaction to walk-thru situation:

Additional Comments:

4.5.7 Remedial Sessions

During the entire week of training, community leaders would suggest and some trainees would ask for extra help or practice with items that caused confusion or difficulty. Each morning before the session and after dinner hours each evening, at least one staff member was always available to conduct remedial sessions with trainees who needed help. Some trainees formed study groups which were monitored by the staff member in charge of remedial work for the day.

The length of time and intensity of remedial sessions was left up to the staff member administering the session. Trainees who obviously needed one-to-one working relationships were usually paired with their community leader unless two persons in the same community needed remedial work. Group sessions generally covered easily solvable problems, while individual sessions dealt with more serious problems.

In the few cases involving persistent need for remedial work, trainees were advised of what they usually already knew: that they would not be able to work on the BEOG survey as an interviewer.

4.5.8 Staff Discussion

At the end of each day of training, the entire Westat staff met to discuss the events of the day, general progress in maintaining the schedule, and any problems that specific trainees had within the community. After making adjustments to the schedule and presentations, each community leader was asked for a verbal progress report on each trainer. These discussions were confined to academic issues unless attitude toward or interest in the training session was a problem. On an as-needed basis, either the community leader or another staff member spoke to individual trainees regarding their specific problem(s). Generally, all problems were corrected immediately.

4.6 Office and Field Organization for BEOG Study

Westat's field organization for each study reflects the unique requirements of that study. The major function of the field staff is to collect survey data as required by the personnel specifications. To this end, Westat's field office maintains a staff of interviewers who reside all across the country and a staff of regional supervisors who hire, provide training support, and supervise the interviewers.

In the BEOG study, the home office field staff consisted of a field director and an assistant field director who were in charge of all field work. They reported the progress of all field activities to the project director and other project staff. In addition to the field directors, there was an administrative supervisor who processed time and expense reports each week and provided other assistance to the field supervisors.

As the study progressed, clerks also were needed to support the activities of nonresponse followup, processing of 4506 tax request forms, and sending and receiving materials from field supervisors.

To directly monitor the field data collection efforts, regional supervisors were hired to direct the activity of field interviewers and to report progress made in the field. Regional supervisors were employed to reduce the cost of monitoring the field staff and to provide decentralized field support. Regional supervisors used their places of residence as a field office and were supported by a clerk for activities such as typing, checking and sending materials to the Rockville office.

Over 75 interviewers residing in Westat's primary sampling units were augmented with the hiring of approximately 25 additional interviewers residing in areas outside of the usual PSU's used for Westat field studies. The bulk of field staff were hired for areas in which one or more of the 200 sampled institutions were located. The number of interviewers hired for a specific location was determined by the amount of work to be done in the area and the location of the respondents within the area. In some cases, the interviewers could handle all of the field work, but in most areas, two or more interviewers were needed.

The employment of staff located in specific areas substantially reduced the long-distance travel for out-of-site interviewers that otherwise would have been required to complete interviews with parents of students who reside in locations other than where the institution is located. In order to complete the out-of-site interviews, a core of traveling interviewers were hired later in the field period. The group consisted of the top producers of the regular BEOG interviewing staff and experienced traveling interviewers from other Westat projects.

The organization of the office and field staffs for the study is shown in Figure 4-1. Even though interviews were not conducted for all of the 50 states, because location of some parents was unknown when the study was fielded, we assigned each State to a region so that as the interviewers obtained the location of the parent the case could be easily assigned to one of the regional supervisors.

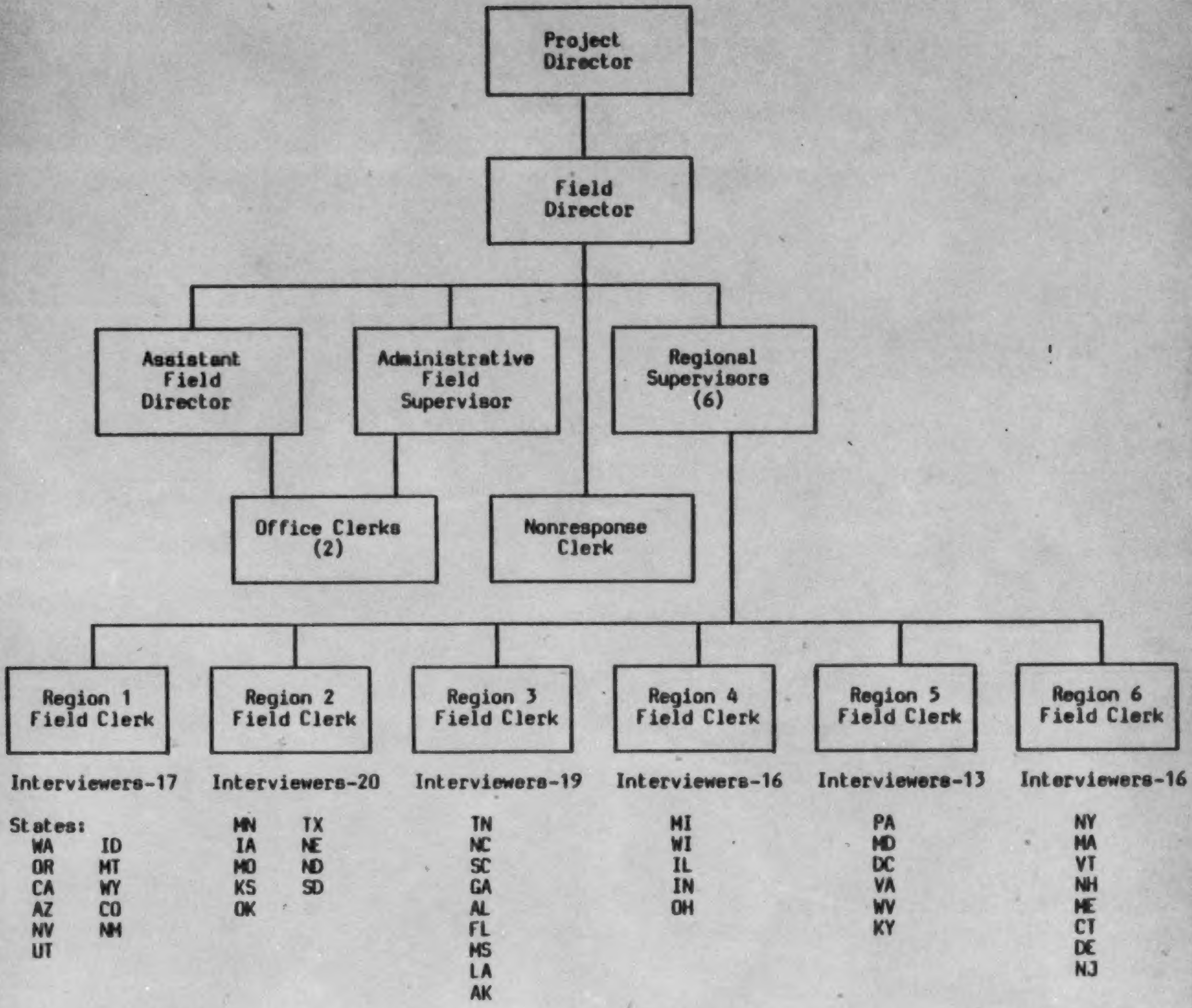


Figure 4-1. BEOG study field organization

Exhibit 4-8. Interviewer training schedule

INTERVIEWER TRAINING FOR BASIC EDUCATIONAL OPPORTUNITY GRANT QUALITY CONTROL STUDY

ATLANTA, GEORGIA, SESSION
January 8 - January 12

DAY	TIME	TOPIC/ACTIVITY
Monday 1/8/79	10:00-10:15	Discussion of Training Arrangements
	10:15-10:30	General Information and Welcome
	10:30-11:30	BEOG Overview
	11:30-11:45	Update to Instructions
	11:45-12:30	Ice Breaker
	12:30-1:30	Lunch
	1:30-2:00	Introduction
	2:00-2:30	Before Making Contact
	2:30-3:00	Using the Questionnaire
	3:00-3:15	Break
	3:15-3:45	Probing
	3:45-4:15	Recording Answers
	4:15-4:45	General Considerations for Interviewing
Home Study: Review Chapters 1 - 13.		
	6:30-8:00	Makeup Session for Late Arrivals

Exhibit 4-8. Interviewer training schedule (continued)

DAY	TIME	TOPIC/ACTIVITY
Tuesday 1/9/79	9:00-9:30	Exercise 1
	9:30-9:45	Summary of Interviewer Tasks
	9:45-10:30	BEOG Program
	10:30-10:45	Break
	10:45-11:15	Sampling
	11:15-12:00	Interviewing Material
	12:00-1:00	Lunch
	1:00-3:00	Contact Procedures
	3:00-3:15	Break
	3:15-4:00	Beginning the Interview
	4:00-5:00	Potential Field Problems

Home Study: Review Section Chapter 7-13. Read Chapters 17 and 18 (Q by Q's Sections A and B).

7:00-8:30	Optional review session will be scheduled for those requesting assistance. If you are interested in such a session, inform your supervisor.

Exhibit 4-8. Interviewer training schedule (continued)

DAY	TIME	TOPIC/ACTIVITY
Wednesday 1/10/79	9:00-9:30	Exercise 2
	9:30-9:45	Presentation of Section A
	9:45-10:00	Q by Q Section A
	10:00-10:15	Break
	10:15-10:30	Role Play Section A (continued)
	10:30-12:00	Role Play Section A (continued)
	12:00-1:00	Lunch
	1:00-1:30	Presentation of Section B
	1:30-3:00	Q by Q Section B
	3:00-3:15	Break
	3:15-3:30	Q by Q Section B
	3:30-4:00	Role Play Section B
	4:00-5:00	Documentation

Home Study: Review Chapters 17 and 18 (Q by Q's Sections A and B).
Read Chapters 14, 15 and 16.

7:00-8:30 Optional review session will be scheduled for those requesting assistance. If you are interested in such a session, inform your supervisor.

Exhibit 4-8. Interviewer training schedule (continued)

DAY	TIME	TOPIC/ACTIVITY
Thursday 1/11/79	9:00-9:30	Exercise 3
	9:30-10:00	Role Play Section B
	10:00-10:15	Break
	10:15-12:00	Role Play Section B (continued)
	12:00-1:00	Lunch
	1:00-1:30	Post Field Procedures
	1:30-2:45	Administration Procedures
	2:45-3:00	Break
	3:00-3:30	Exercise
	3:30-7:00	Individual walk thru with staff

Home Study: Review Chapters 14, 15 and 16. Identify other trainee to conduct second walk thru on Friday.

Note: This session may last until 7:00 depending on the time required to complete individual walk thru's with trainees.

Exhibit 4-8. Interviewer training schedule (continued)

DAY	TIME	TOPIC/ACTIVITY
Friday 1/12/79	9:00-10:30	Conduct second walk thru
	10:30-11:00	Picture Taking
	11:00-11:30	Discussion of fielding procedure and closing comments.
	11:30-12:30	Lunch
	12:30 -	Depart

4.7 Communication, Monitoring, and Reporting Procedures

In order to establish full and clear communication of procedures and updates to instructions between the field interviewing, field supervisory, and Rockville staffs, a system of reporting and monitoring of field activities was initially established during training and later modified during the first few weeks of the field period.

4.7.1 Communication

The primary communication source for the BEOG study was the telephone. Interviewers were instructed to call their supervisor at least once a week or more frequently as the need arose. During each telephone conversation, the supervisor reviewed with the interviewer:

- Cases that had been finalized,
- Assignments which the interviewer was still keeping in the field,
- Any problems with the assignments,
- All problems with submitted questionnaires as a result of editing,
- New assignments to be enclosed in the mail, and
- Any field memos or policy changes that had taken place during the last report.

4.7.2 Monitoring and Reporting

a. Interviewer Reporting

As mentioned earlier, the monitoring and reporting system for the BEOG study required six field supervisors, an assistant field director, and administrative supervisors located in the Rockville office. The reporting for interviewers required maintaining records for daily production, time, and expense reporting.

To report all assignments received and transmitted to the supervisor, interviewers were provided with an Interviewer's Assignment Record (Exhibit 4-9) and a Transmittal Record (Exhibit 4-10). The Assignment Record provided respondent label information on the cases they had been assigned, date the cases had been sent, and whether or not this was the first time the case had been assigned to the field. The Transmittal Record was used to transmit completed as well as non-interview materials to supervisors. This record was reproduced on two-part NCR paper so that interviewers could keep a copy of the record to serve as a receipt.

In addition to the Assignment Record and Transmittal Record, each interviewer was provided with a Weekly Telephone Reporting Log (Exhibit 4-11). This log provided information concerning how many cases had been assigned to an interviewer and the current disposition of the case. This form was also used to reconcile any discrepancies that may have arisen concerning the assignment that they received.

Exhibit 4-9.

INTERVIEWER ASSIGNMENT RECORD

↲ AFFIX INTERVIEWER LABEL HERE ↳

Name: ____________________

Address: ____________________

____

Telephone No.: (___) __________

↲ AFFIX REGION LABEL HERE ↳

Region No.: __________ State No.: __________

Institution Name: ____________________

Institution Location: ____________________

____

Record No.: _____ of _____

Field Week No.: __________

Date: __________

Interviewer ID No.: __________

ID Number, Respondent Name Address, Telephone Number	Date Sent	Date Received	Appointment Date	Sent by		Assignment			Comments
				Sup.	Westat	1	2	3	
AFFIX RESPONDENT LABEL HERE									
AFFIX RESPONDENT LABEL HERE									
AFFIX RESPONDENT LABEL HERE									
AFFIX RESPONDENT LABEL HERE Resp. Type Site # |327| |01| |1| |6| Student Sample # Institution ID #									

Exhibit 4-10.

INTERVIEWER TRANSMITTAL RECORD

AFFIX INTERVIEWER LABEL HERE

Name: ____________________

Address: ____________________

____

Telephone No.: (   ) ____________

Record No.: ______ of ______

Field Week No.: ______

Date: ______

Interviewer ID No.: ______

Resp. ID	University Name	Date Sent	Result Codes*	Comments	OFFICE USE

*Result Codes

16-26

1-Complete, some documentation
2-Complete, no documentation
3-Refusal
4-Breakoff
5-Appointment
6-Not at home
7-Other

Exhibit 4-11.

INTERVIEWER WEEKLY TELEPHONE REPORTING LOG

Reporting Week No.:__________ Region No.:__________ State No.:__________

	WEEK ENDING Wednesday, ____/____/ Month Day
Total number of cases assigned to date	
Number of cases closed out:	
• Number of complete, some documentation	
• Number of complete, no documentation	
• Number not home after 3 visits	
• Number of refusals	
• Number of breakoffs	
• Number of "other"	
Number of cases sent to supervisor	
Number of hours worked last week	
Expected completion date of cases currently assigned	
Total number of cases returned to Supervisor before this week	

Field Director (White) Supervisor (Canary) Interviewer (Pink)

On a weekly basis and on a date specified by the field supervisor, the interviewer would call to provide a weekly status report. This report would provide the supervisor with information on completed cases as well as those that the interviewer had not made any contact on. When the interviewers were provided with records for reporting nonresponse cases (described later in this section), the disposition of these cases were also discussed at this time.

In addition to the reporting forms on the disposition of cases, the interviewers also were required to submit weekly time and expense reports. These reports provided not only information for payroll purposes, but also contained information on the time per completed case (Exhibit 4-12).

b. Supervisor Reporting

Once the interviewer reported the progress of field efforts to the supervisor, the supervisor then reported on all the interviewers to which s/he had been assigned. This was done on a weekly basis. To make the interviewer/supervisor reporting process as easy as possible, most reporting forms used by supervisors were similar to those used by interviewers. To report on each interviewer, supervisors used the following forms:

- Supervisor Assignment Record,
- Transmittal Record,
- Weekly Telephone Report, and
- Master Control Record.

Exhibit 4-12.

WESTAT INTERVIEWER TIME AND EXPENSE REPORT

Print Name: ______ ID No.: ______

Signature: ______ Soc. Sec. No.: ______ Project Name: ______

Address: ______ Project No.: ______ Wednesday, ___/___/___ Month Day Year

City ______ State ______ Zip ______ PSU No.: ______ (Submit weekly through Wednesday)

TIME (to nearest 1/4 hour)

ENTER MONTH & DATE ➧

ACTIVITY	SEG #	THU	FRI	SAT	SUN	MON	TUE	WED	TOTAL HOURS
Training									
Travel									
Listing									
Screening/Interviewing (includes contacting and locating)									
Editing									
Reporting									
Validation									
Other (SPECIFY)______									
TOTAL HOURS									(A)
MILES DRIVEN									TOTAL (B)

EXPENSES

(Specify Public Transportation, Tolls, Parking, Telephone, etc.)

Attach Receipts.	Amount
TOTAL	(C)

PAYROLL AUTHORIZATION

I certify that during the week beginning Thursday, ______ (DATE)

I ☐ have ☐ have not charged Westat for more than 40 hours. If more than 40 hours, I was authorized by ______ [illegible] and worked ______ (# HOURS) additional hours.

______ (INTERVIEWER SIGNATURE) ______ (DATE)

FOR SUPERVISOR: I have reviewed and approve this T & E report.

______ (SUPERVISOR SIGNATURE) ______ (DATE)

IF WORKED ON MORE THAN ONE PROJECT THIS WEEK:

(1) Fill out separate T & E for each project.

(2) List other projects.

NAME	HOURS

COMMENTS

PRODUCTION REPORT

								TOTAL
No. of completed listings								
No. of completed screeners								
No. of completed interviews								
No. of closed out cases								

SUMMARY OF TIME, MILEAGE & EXPENSES

(A) - TIME

Rate X Hours = ______

(Only if 2nd rate in use)

Rate X Hours ______ TOTAL AMOUNT

OFFICE USE ONLY -- OVERTIME HRS.

Rate X Hours Amount

Adjusted Amount

EXPENSES

(B) ______ Total Miles X .15 = ______

(C) Total Expenses = ______

Total Mileage & Expenses = ______

______ Approved

______ Date

OFFICE USE ONLY

Project #	Hours	$	Exp. $

Copy 1 - Westat Payroll (White)
Copy 2 - Westat Accounting (Pink)
Copy 3 - Field Director/Supervisor (Canary)
Copy 4 - Interviewer (Gold)

A copy of the weekly telephone log is included in Exhibit 4-13. On Monday of each week, the supervisor would call the field director with a report on his/her interviewers using the Supervisor Weekly Reporting Form. During this conversation, the field director would ask about any field and/or interviewer production problems.

c. Rockville Reporting

After all information had been tabulated from the field, a weekly field report was produced and discussed at the Rockville weekly BEOG staff meeting. This report provided information on each region in regards to number of cases assigned, completed, not yet assigned, and refusals, as well as the same information on the national sample. This information, along with the nonresponse rates and documentation, provided the basis for determining areas which needed special attention or additional interviewing staff. After each weekly staff meeting, the project director prepared a report to BSFA/DQA from information in the field report as well as from the discussions of problems in the staff meeting.

Exhibit 4-13

PAGE _____ of _____

Region No.: ____________________

SUPERVISOR WEEKLY TELEPHONE LOG

Week Ending Wednesday _______/_______
Month /Day

INTERVIEWER ID														Total for Region
A. Number of cases held by supervisor														
B. Number of cases in route to interviewer														
*C. Number of cases assigned to date														
D. Number of appointments														
*E. Number of closed out:														
*• Number of complete, some documentation														
*• Number of complete, no documentation														
*• Number not home after 3 visits/ Avoidance														
*• Number of refusals														
*• Number of breakoffs														
*• Number of "other/ Still eligible														
*• Number of "other/ineligible": - Deceased - Out of country - Terminally ill														
*F. Number of hours worked last week														
*G. Total number of cases returned to super. before this week														
*H. Expected completion date														
*I. Number sent to Rockville (Cum)														

INTERVIEWER CODES: 1 - Quit; 2 - Didn't Work; 3 - Didn't Report 4 - No Work Available

CASE CODES: 5 - Transfer within region; 6 - Transfer out of region; 7 - Weather, roads impassable; 8 - Language, no translator; 9 - Extended travel required; 10 - Illness, not terminal; 11 - Never received grant 12 - Specify, ____________.

4.8 Nonresponse Followup

Every attempt was made to encourage individuals to respond to requests for information, including installation of a collect telephone line for the sole purpose of receiving inquiries from respondents about the survey and the required documentation. The telephone number of this special line was listed on the door insert cards which were left at respondents' residences when they were not at home. The telephone was staffed during regular working hours and had a recording device for receiving calls after hours.

Even with this special line and the other procedures discussed in previous sections, a number of nonresponse cases still remained in the field. Detailed procedures were established for monitoring these nonresponse cases while they were still assigned to an interviewer in the field. Each time an interviewer placed a telephone call to a respondent, made an in-person visit, or received materials from the Rockville office, the interviewer would make an entry on the call record folder for that segment. Each call record folder contained identifying labels for both the parent and the student. Even though interviewers may not have been assigned both parent and student interviews, they were instructed to verify the information contained on the label for the other memeber of the set.* For each contact or attempted contact with the respondent, a result code would be used to indicate the nature of that contact. If the interview was completed, a completed instrument would be placed in the call record folder. If seven telephone attempts and field visits over a ten-day period of time resulted in no contact with the respondent, a Refusal/Breakoff/Non-Interview (RBN) Form (Exhibit 4-14) was to be completed by the interviewer and placed in the call record folder. This record of attempts would later be one of the items used to evaluate whether or not sufficient attempts had been made to contact the respondent at their residence before a warning letter of non-compliance would be mailed.

---

*Respondent set refers to both the parent and student.

Interviewers were instructed to document the conversations whenever all of the attempted contacts failed to produce an interview. The RBN Form was to be completed and used for this purpose. The RBN was designated to serve two purposes: first, as the official record for providing information as to the outcome of the contacts, and secondly, for refusal cases, it would provide the specific reasons why someone was refusing to participate so that these concerns could be addressed in a conversion attempt. In short, when a case was returned to the supervisor, either a completed instrument or an RBN would be placed in the folder.

If an RBN was completed for a case, the interviewer was instructed to enter the respondent's name in his/her Interviewer Nonresponse Log (Exhibit 4-15). The Interviewer Nonresponse Log was used for reporting all refusals, breakoffs, avoidances, and not-at-homes after three visits to the household. If an interviewer made three household visits, s/he should have found that the respondent did not have a telephone. The interviewing materials, including the completed RBN for these cases, were held in the interviewer's possession until s/he received further instructions from his/her supervisor.

Exhibit 4-14. Refusal/Breakoff/Non-Interview form (RBN)

REFUSAL/BREAKOFF/NON-INTERVIEW (RBN) FORM

AFFIX LABEL HERE

Interviewer ID#__________

Date of Non-Interview__________
Time of Non-Interview__________

1. REASON FOR NON-RESPONSE:

Refusal....................................1 (2)
Breakoff...................................2 (2)
Language Problem...........................3 (14)
Unavailable during field period............4 (15)
Not at home after repeated calls...........5 (Terminate)
Respondent Avoiding Interview..............6 (2)
Other (SPECIFY) ____________________________7 (Terminate)

2. STATE REASON FOR REFUSAL/BREAKOFF/AVOIDANCE: RECORD VERBATIM

(CIRCLE ALL THAT APPLY)

A. Confidentiality/Too personal..............................1
B. Too Busy/Not Interested...................................2
C. Negative reaction to BEOG (EXPLAIN ____________________3
D. Negative reaction to gov't or other surveys in general...........4
E. Negative reaction to introductory materials (ID, brochure, advance letter etc.) (SPECIFY) ____________________5
F. R does not think Interviewer is legitimate/mistrusts interviewer...........6
G. Interview sounds too long/is taking too long.....................7
H. R Afraid of Losing Grant...8
I. No reason given..9
J. Other (SPECIFY) ____________________10

DO NOT ASK 3-8 IF REASON IN 2 WAS AVOIDANCE.

3. STRENGTH OF REFUSAL/BREAKOFF: (CIRCLE ONE)

Mild-no hostility..........................1
Firm but not hostile.......................2
Hostile....................................3

4. REFUSAL/BREAKOFF MADE BY:

Student Respondent.........................1
Parent Respondent..........................2
Student Refusing for Parent Respondent.........3
Parent Refusing for Student Respondent.........4
Other (SPECIFY ____________________5

Exhibit 4-14. Refusal/Breakoff/Non-Interview form (RBN) (continued)

5. (REFUSAL ONLY) REFUSAL WAS FOR:

Student Respondent only........................1
Only one Parent................................2
Both Parents...................................3

6. WHAT METHODS DID YOU USE TO PERSUADE R TO COOPERATIVE/CONTINUE:

____

____

____

____

____

____

7. (ALL R's EXCEPT IND. PARENTS) WHAT WAS THE R's REACTION WHEN YOU STATED THAT HE/SHE WAS REQUIRED TO PARTICIPATE PER THE ORIGINAL APPLICATION CERTIFICATION AGREEMENT?

____

____

____

____

8. (REFUSAL ONLY) REFUSAL IN RESPONSE TO:

Advance materials..............................1
Attempt to make app't (by telephone)...........2
Attempt to make app't (in-person)..............3
Attempt to keep app't..........................4

9. DEMOGRAPHICS OF PERSON CAUSING NON-INTERVIEW

A. SEX:
Male...1
Female...2

B. AGE:
15 and below...................................1
16-17..2
18-19..3
20-21..4
22-29..5
30-39..6
40-50..7
Over 50..0
DK...9

C. RACE:
White..1
Black..2
Spanish descent................................3
Other (SPECIFY) ______________________4
______________________________________9
DK

Exhibit 4-14. Refusal/Breakoff/Non-Interview form (RBN) (continued)

10. DO YOU THINK ANOTHER INTERVIEWER MIGHT BE ABLE TO OBTAIN/COMPLETE THE INTERVIEW:

Yes	1	(11)
No	2	(12)

11. WHAT TYPE OF INTERVIEWER:

A. SEX:

Male	1
Female	2

B. AGE:

Under 30	1
30 or older	2

C. RACE:

White	1
Black	2
Spanish descent	3
Other (SPECIFY) ______________	4

12. WHAT KIND OF APPROACH COULD WE USE TO CONVERT THIS REFUSAL/BREAKOFF/AVOIDANCE?

13. (BREAKOFF ONLY) DURING WHICH QUESTIONS OR GROUP OF QUESTIONS DID THE RESPONDENT BREAKOFF?

(TERMINATE)

14. WHICH LANGUAGE DOES THE RESPONDENT SPEAK?

______________ (TERMINATE)

15. WHY WAS R UNAVAILABLE DURING THE FIELD PERIOD?

Exhibit 4-15. Interviewer nonresponse log

INTERVIEWER NONRESPONSE LOG

Interviewer Name: ______________________

Interviewer ID No.: ______________________

Region No.: ______________________

COMPLETE FOR REFUSALS, BREAKOFFS, NOT HOMES AFTER THREE VISITS, AND AVOIDANCES

Respondent ID # and Name	Initial Result Code	Held as of (Date)	Date of Release	Refield Result Code	Action/Comments:	Held as of (Date)	2nd Date of Release	2nd Refield Result Code	Action/Comments:
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	

RESULT CODES

1 - Complete, some documentation   2 - Complete, no documentation   3 - Refusal   4 - Breakoff   (5-Do no use)   6 - Not at home/Avoidance   7 - Other

Exhibit 4-15. Interviewer nonresponse log (continued)

INTERVIEWER NONRESPONSE LOG

Interviewer Name: ____________________

Interviewer ID No.: ____________________

Region No.: ____________________

COMPLETE FOR REFUSALS, BREAKOFFS, NOT HOMES AFTER THREE VISITS, AND AVOIDANCES

Respondent ID # and Name	Initial Result Code	Held as of (Date)	Date of Release	Refield Result Code	Action/Comments:	Held as of (Date)	2nd Date of Release	2nd Refield Result Code	Action/Comments:
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	

RESULT CODES

1 - Complete, some documentation   2 - Complete, no documentation   3 - Refusal   4 - Breakoff   (5-Do no use)   6 - Not at home/Avoidance   7 - Other

Interviewers were also instructed that if they were contacted by the respondent (either in response to one of the warning letters or in response to one of the door insert cards the interviewer may have left behind), the interviewers should set up a time and conduct the interview.

Once a respondent was entered into the nonresponse system by the interviewer, field supervisors also maintained the appropriate records which would allow the respondent file to be updated with the latest transaction from the field. In order for the supervisor to maintain accurate records on the disposition of the case, it was necessary during the early fielding of the study to have interviewers maintain an additional record for the supervisor's nonresponse record.

The supervisor's nonresponse record served to record all refusals, breakoffs, and non-interviews. The interviewer contacted the supervisor twice a week to report his/her nonresponse cases. During the telephone conversation, the interviewer would review the contents of the RBN with the supervisor. In addition, the supervisor would request that they read from the call record folder the dates, times, and type of contact information that was entered on the front of the call record folder. This information, which was entered on the bottom of the Supervisor Nonresponse Record, allowed the supervisor to quickly determine if the interviewer had varied his/her times and days of contacts to allow for finding the respondent at home. If the interviewer had not varied his/her contact attempts, the supervisor instructed the interviewer to make additional calls at the household, specifying the days and times that the calls should be made. The supervisor would not notify Rockville of the case until the interviewer verified the fact that additional contact attempts were made. Once the supervisor verified that the calls were made and if there was still no contact with the household, the interviewer was instructed, as of that date, to enter the information about the case on his/her nonresponse log. This entry precluded any followup on the case by the interviewer unless instructed to do so by the supervisor or unless the respondent initiated contact with the interviewer.

Supervisors informed Rockville of cases that were in the nonresponse mode once a week. The name and identification number of the respondent, along with the initial result code and the date that the interviewer entered the case on his/her log was given to the Rockville office. The nonresponse records and logs maintained respectively by the supervisor and the interviewer remained a part of their files until the Rockville office requested that the materials be forwarded. This was done so that the interviewer materials were in the field in the event that the respondent became available or would later respond to one of the warning letters.

For each case that was reported to Rockville by the supervisor, a lengthy discussion was held with the nonresponse clerk to obtain details about the case. While the supervisor's telephone conversation with the interviewer was concerned with contact times and dates as well as outcomes, the nonresponse clerk's primary concern was to insure that the case was a legitimate nonresponse and thus eligible to receive the first in a series of two warning letters.

The information that was supplied to the nonresponse clerk was not only entered in the Rockville nonresponse record but was also entered in a receipt control log. This log was used in conjunction with the nonresponse record, which allowed the clerk to enter in the log the date the case was entered in the Rockville system. It also identified on which page in the record an entry about the specific case could be found.

For each case that was entered into the log, a folder was created which contained specific information about the case. A cover page which summarized all communications and activities regarding the case was attached to the front of the folder. The information contained on the front included a place for recording all correspondence, telephone and in-person contact attempts with the respondent or his/her household and a place for noting the outcome of these attempts. In addition, there also was a section for recording all contents that would later be included in the folder when all field action regarding the case was completed. The final enclosure would include:

- The interviewer's completed RBN,
- The supervisor's nonresponse record,
- Any warning letters sent to the respondent,
- A registered mail signed receipt indicating that the letters had been received by the respondent,
- A copy of any telephone reports which summarized any telephone calls that may have been received in the Rockville office for the respondent, and
- Any other pertinent information about the case.

Before a warning letter was sent to a respondent, the nonresponse clerk and field director would review the folder contents and discuss each case individually. The primary purpose of this review was to determine whether or not the respondent should receive a warning letter. In addition, a check was made to ensure that the respondent received the correct letter, depending on whether s/he was a dependent parent, independent student, etc. This check also served to make certain that the correct warning letter, depending on type of nonresponse (e.g., refusal, breakoff, etc.), was sent.

The decision here was based on the information provided about the case, or any further contacts with the Rockville office initiated by the respondent. In a few instances, respondents called in to say they had no intention of participating. If the clerk could not convince them to participate, they would be sent a warning letter. (Copies of warning letters sent to dependent students were also sent to these students' parents to notify them of the potential for suspending their son/daughter's grant. Likewise, copies of warning letters sent to parents of dependent students were sent to those parents' sons or daughters in hopes that their parents could be talked into establishing an interview.) If it was determined that the respondent had been given sufficient time to respond and there had been no response, and/or the information about the case indicated that the respondent was simply not complying, the next step was to send a second warning letter, which gave the respondent 48 hours to respond before their case was referred to OE for suspension.

Some respondents contacted the office before any warning letter was sent to inform the office of special problems regarding their situation or reasons why they had been in non-compliance. In some of these instances, students indicated why parents had been in non-compliance or a parent would provide information about the student. If, for any of the following reasons, a respondent did not participate in the interview or a refusal was obtained from a member of the family, the case was retired and no further efforts were made to obtain an interview.

- Respondent was out of country (and would not be back during field period) or extremely ill.
- Respondent applied for grant but never received it. Before this reason could be accepted, a call was placed to the financial officer at the institution in which the student was purportedly enrolled to verify whether student had actually received tuition credits or cash assistance during the study period.

- Respondent was an independent parent for whom we did not have an address and student refused to provide one.

It should be mentioned that the warning letter did not request, as did the initial letter, that the person participate in the interview. The letter stated that they could send in the appropriate documents to validate the information entered on the application and still be in full compliance.

As indicated earlier, the procedure for informing a respondent of non-compliance did include a sequence of two warning letters. Each was sent by registered mail and required a response by the respondent within a certain period of time. For warning letter number one, the respondent was allowed 10 days after we received the registered mail receipt to respond. The period of time for the second letter was reduced to 48 hours. Because the process of mailing both letters required BSFA/DQA envelopes, the letters were sent to the division and then mailed to the respondent. This process, in fact, allowed the respondent a longer period of time than 10 days to respond to the letters, since this process usually took two weeks.

The volume of calls received in the Rockville office was significantly large in response to the first warning letter. A summary of each conversation was entered in the call report which indicated the name, ID number of the caller, and the nature of the call. For the most part, the caller fell within three categories:

- Respondent seeking clarification,
- Respondent waiting to be interviewed, and
- Respondent still refusing to participate.

Many of the respondents seeking clarification also provided explanations of special circumstances for their non-participation. These individuals generally felt that they were either unqualified to respond to our questions because they lacked information, or they felt they had already participated because they had sent in a request for their 1040 form, or they totally misunderstood the letter and what was being requested. If after the conversation the respondent indicated a willingness to participate, s/he was rescheduled for an interview along with those who called in to reschedule. The third group who called in to continue to refuse to participate were immediately slated to receive the second warning letter if they did not provide any reason for continuing to refuse.

As mentioned, warning letter number two was prepared for sending after we received the receipt for the first warning letter. Again, a review of the case was held to ensure that the correct letter was being sent to the correct respondent type. This letter required the respondent to contact the office within 24 hours. Usually a week would again elapse before further action was taken on a case. This allowed the Rockville office time to receive the report for the second mailing. If, after this period of time, the respondent did not contact the office it was assumed the case would be closed in the field and sent to OE. The Rockville nonresponse clerk then contacted the field supervisors who initially reported the case, requesting that the interviewer and supervisor mail in all material regarding the case. These materials included:

- Call Record Folder,
- Refusal/Breakoff/Non-Interview Form,
- Interviewer Nonresponse Log, and
- Supervisor Nonresponse Record.

After all materials were received in the Rockville office, they were enclosed in the folder for the respondent. A final review was then held by the nonresponse clerk and field director. For the most part, this review was perfunctory since these materials largely provided confirmation for the information already reported via the telephone and that was entered on the forms. Before a final decision on the case was made either to retire the case with no further followup or to recommend to BSFA/DQA that the student's grant be suspended, a check was made in the call report to make certain that the respondent had not attempted to contact the office. If no contact was made and the case was recommended for suspension of grant, a letter to this effect was prepared for the student along with a letter for the financial aid office of the institution attended by the student. These letters were placed in the respondent's folder, which included the following items:

- Rockville Nonresponse Record Summary page,
- Copies of the first and second warning letters sent to the respondent,
- Receipts for the warning letters,
- Student grant suspension letter and envelope,
- FAO letters to inform the FAO's of suspension activities,
- Interviewer's Refusal/Breakoff/Non-Interview Form, and
- Supervisor Nonresponse Record.

The folders then were given to the project director for his review. After discussing the contents of each folder with the field director and nonresponse clerk, the project director sent the case to BSFA/DQA with a cover memo recommending suspension of grant.

4.8.1 IRS Data Extraction

a. Procedure Formulation

In early October, 1978, IRS regional offices were contacted by Westat about the possibility of handling massive requests for 1977 tax return copies furnished to them through Westat. An agreement was made in November, with each of the 10 regional offices involved, and the IRS form 4506, Request for Copy of Tax Form, was altered so that all billing for copies was sent directly to Westat (Exhibit 4-16). IRS procedures prohibited direct mailing of 1040 tax form copies to Westat without the taxpayer's consent; therefore, the box on the 4506 form marked "Mail copies to" was left blank and was to be filled in by the respondent. IRS centers gave Westat a processing time range of two to eight weeks from the date of receipt for requests made between December 1978 and February 1979. During the peak tax season, March and April of 1979, IRS could not guarantee the length of processing time due to staff shifting to accommodate processing of 1978 tax returns.

b. Initiating the Data Extraction Process

Westat's version of IRS Form 4506 was sent to each study participant, along with the advance letter explaining the survey. The letter asked respondents to complete the 4506 for the tax year 1977 and return it to Westat in a pre-paid envelope that also was provided. Sets of advance letters were mailed daily, beginning December 8, 1978.

The flow of completed 4506's was very slow during the months of December and early January due to the holiday season mail demands, and also due to the fact that many students and

Exhibit 4-16. Request for copy of tax form

7712

Form **4506**
(Rev. February 1978)

Department of the Treasury – Internal Revenue Service

Request for Copy of Tax Form

(Please read the instructions on the back of this form before you complete it.)

Name and address of taxpayers as shown on tax form
[redacted]

Requester's telephone number

Document locator number *(if known)*

Taxpayer's [redacted]

Spouse's [redacted] number

Kind of tax *(income, estate, excise, gift, etc.)*
Income

Current address if different from above

Tax form number
1040 or 1040A

Mail copies to:

Employer identification number

Tax period ended
12/31/77

Internal Revenue Service office where tax form was filed
[illegible]

Do you want copies of all pages and attachments?
☒ Yes ☐ No

How many copies of each page requested do you want?
One

If no, do you want copies of ☐ Page 1 only? ☐ Schedules only? ☐ Other?

If you check "Other," please specify what copies you want.

If you are requesting certification, please check here. ☐ *(See instructions on back.)*

Tp's address

The billing for this request should be sent to:

WESTAT, INC.
11600 NEBEL STREET
ROCKVILLE, MD 20852
TELEPHONE: 301-881-5310
ATT: JAMES HICKS
REFERENCE: Letters addressed to IRS Center Director, 10/4/78 and 11/ 2 /78.

SERVICES SECTION
EMP #
RSC-208

03 2379

Signature of taxpayer *(or requester)*

Signature of person attesting, if corporate return *(See instructions on back.)*

Date

Form 4506 (Rev. 2-78)

parents were on vacation at that time. This low level of returns made it necessary to change procedures for obtaining completed 4506 forms. At the start of the field period, interviewers were sent updated information requiring them to obtain a completed 4506 at the close of an interview even if a respondent had previously sent in a copy to Westat. With this procedure, the numbers of 4506's received increased greatly in late January and throughout February.

c. 4506/1040(A) Processing at Westat

Processing procedures for forms 4506 and 1040(A) were designed as follows:

1. Completed 4506's were received weekly at the Westat home office.
2. 4506's were checked into the system via a 4506/1040 log book used for keeping track of each request and the subsequent billing and receipt of 1040(A) forms.
3. 4506's were separated by region and sent weekly to each of the 10 regional IRS centers.
4. In the interim, some regional offices sent letters acknowledging receipt of the request and/or letters indicating problems with filing requests and/or returned 4506's which were incomplete or illegible. Billing for most requests was received within two to six weeks.
5. Within 3 to 10 weeks, 1040(A) copies were received by respondents. Some, but very few, respondents had their 1040(A) sent directly to Westat. The majority of respondents who did eventually send in 1040(A)'s did so after receiving them from IRS.
6. All 1040(A)'s received by Westat were checked into the log book and sent to receipt control for a consistency comparison.

7. After the data was extracted, the 1040(A)'s were returned to the respondents with a letter thanking them for their cooperation.

8. Each month, the accumulated bills for 1040(A) copies were paid to the GAO, as indicated by IRS. Bill payment also was checked in the 4506/1040 log book.

Processing the 4506 requests and the 1040(A) forms received through those requests turned out to be very complex in terms of the range of possibilities for each step of the process. The next page consists of a flowchart (Figure 4-2) that outlines four courses that could have been followed from the time introductory letters were mailed. The flowchart illustrates much more than could be said in written form. Respondent understanding of and cooperation with the request process controlled the process entirely, and, therefore, it's success.

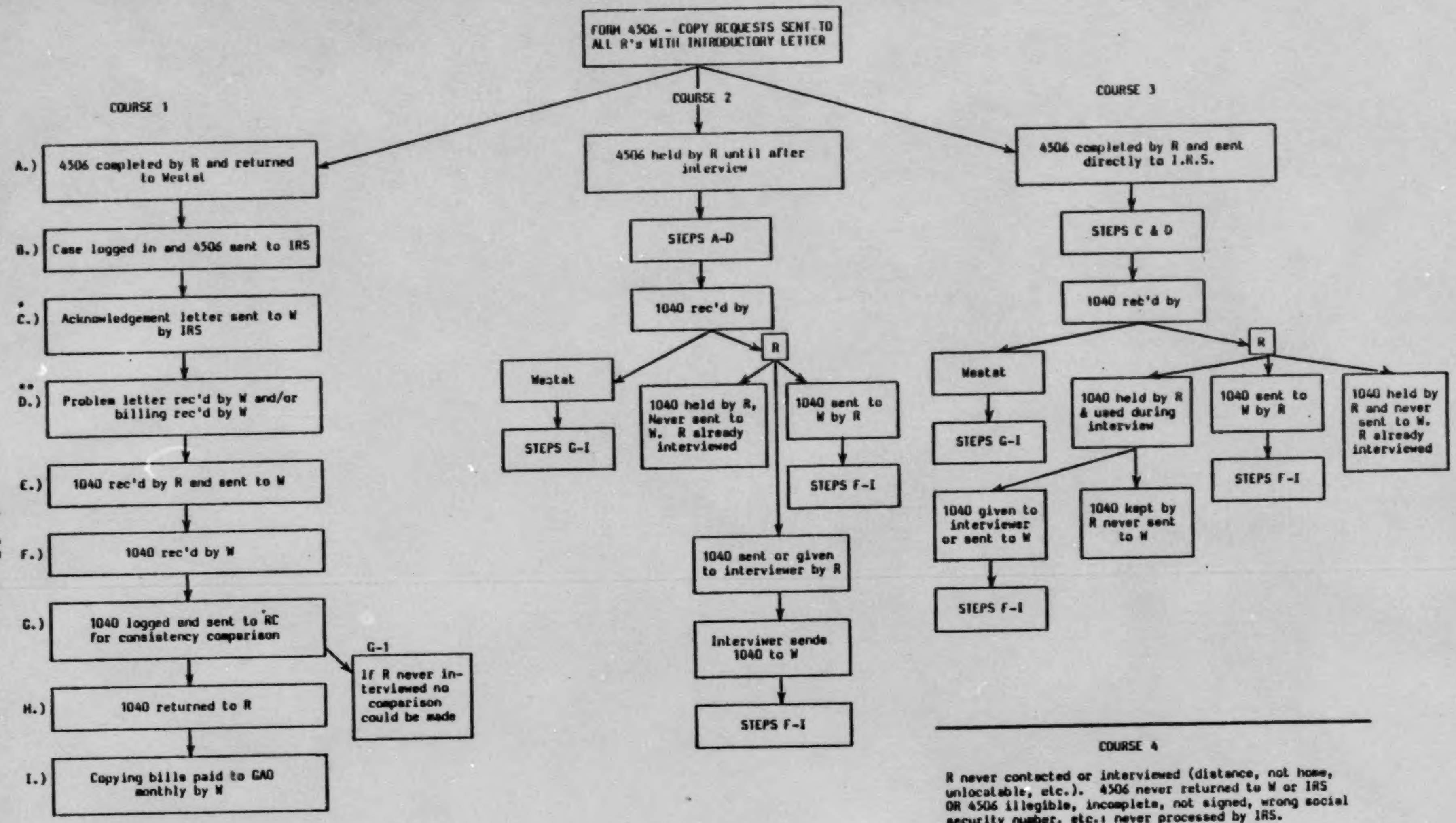
d. Problems with IRS Data Extraction

The flowchart of IRS data extraction gives some indication of the types of problems Westat had with the IRS data extraction effort. The majority of problems encountered with the system involved, in order of their prevalence, one of the following:

1. Respondents who had been interviewed and had completed a 4506 at the end of the interview simply never sent in a copy of their 1040(A). Numerous log entries indicating that 4506's were sent to IRS are incomplete because no 1040(A) was ever received by Westat. Bills were received for most of these entries.

2. Respondents used their own 1040(A) worksheets or an IRS certified copy during an interview, but never sent either to Westat.

3. 4506's were returned to Westat with incomplete, illegible, or incorrect entries. Very little corrective information was ever returned to Westat.


FORM 4506 - COPY REQUESTS SENT TO ALL R's WITH INTRODUCTORY LETTER
COURSE 1
COURSE 2
COURSE 3
A.) 4506 completed by R and returned to Westat
B.) Case logged in and 4506 sent to IRS
* C.) Acknowledgement letter sent to W by IRS
** D.) Problem letter rec'd by W and/or billing rec'd by W
E.) 1040 rec'd by R and sent to W
F.) 1040 rec'd by W
G.) 1040 logged and sent to RC for consistency comparison
G-1
If R never interviewed no comparison could be made
H.) 1040 returned to R
I.) Copying bills paid to GAO monthly by W
4506 held by R until after interview
STEPS A-D
1040 rec'd by
R
Westat
STEPS G-I
1040 held by R, Never sent to W. R already interviewed
1040 sent to W by R
STEPS F-I
1040 sent or given to interviewer by R
Interviewer sends 1040 to W
STEPS F-I
4506 completed by R and sent directly to I.R.S.
STEPS C & D
1040 rec'd by
R
Westat
STEPS G-I
1040 held by R & used during interview
1040 sent to W by R
STEPS F-I
1040 held by R and never sent to W. R already interviewed
1040 given to interviewer or sent to W
1040 kept by R never sent to W
STEPS F-I

COURSE 4

R never contacted or interviewed (distance, not home, unlocatable, etc.). 4506 never returned to W or IRS OR 4506 illegible, incomplete, not signed, wrong social security number, etc.; never processed by IRS.

KEY

1040 = IRS Form 1040 or 1040A
R = Respondent, parent or student
W = Westat
RC = Receipt Control at Westat
* = Optional, all IRS centers did not do this
** = Two IRS centers sent a total bill for all copies

Figure 4-2. Flowchart of IRS activities

4. Respondents who were never contacted or interviewed by Westat (outlying cases, not-at-homes and unlocatables) never sent in a 4506.

5. Requests that presented problems in processing to IRS were never filed, or were filed too late to be of any use to the survey. Examples of the kinds of problems under this category are shown in Exhibit 4-17. (Identifying information has been removed from these exhibits to maintain confidentiality.)

Exhibit 4-17. Examples of problems with IRS requests

Internal Revenue Service Center
Western Region

Department of the Treasury

Date:

Identification Number:

Tax Form:
1040

Tax Year(s):
1977

Person to Contact:
Carl Barker

Contact Telephone Number:
801-626-3701 (Not a toll-free no.)

Refer Reply to:
57453

Dear Taxpayer(s):

We have received your request for photocopy(s) of the above-referenced tax return(s). It is being processed as follows:

☐ Enclosed you will find the requested photocopy(s) of the income tax return(s) for the year(s) ______________________.

☐ We are still in the process of researching your request for the tax year(s) ______________. We will bill you when we send the copies.

☐ After a thorough search, we have been unable to locate the tax return(s) for ______________ in our files under the identification number shown above. Our search consisted of the following States(s): ______________.

☒ Our records indicate that the return for the year(s) 1977 was filed, but we are unable to obtain a copy at this time.

☒ If you still need a copy or have further information, please resubmit your request on the enclosed Forms 4506 in 60 days, and include this letter to help us research our records again.

☐ We are enclosing the bill for copies of the tax return(s) that we previously sent you.

☐ Individual income tax returns for the year(s) ______________ are no longer available because they have been destroyed by authorization from the U. S. Congress.

☐

Enclosures:
cc: Westat, Inc

Sincerely yours,

Lenore L. Looney

Chief, Correspondence Section

Ogden, Utah 84201

FL-1750 (Rev. 3-79)

Exhibit 4-17. Examples of problems with IRS requests (continued)

Internal Revenue Service Center
Southeast Region

Department of the Treasury

Date: [illegible] 15, 1979

Person to Contact:
[illegible]
Telephone Number:
(901) 365-5543
Identification Number:

Tax Form:
1040
Date:
March 30, 1979

Dear

We have received your request for photocopy(s) of the above referenced tax return(s). Your case is being processed as follows:

☐ Enclosed you will find the requested photocopy(s) of the income tax return(s) for the year(s)__________________.

☐ We are still in the process of researching your request for the tax year(s)__________________. We will bill you when we send the copies.

☐ Our records indicate that the return for the year(s) __________________ was filed, but we are unable to obtain a copy at this time. If you still need a copy, please resubmit your request on the enclosed Form(s) 4506 in sixty (60) days, and return this letter to help us research our records again to determine the availability of your return(s).

☑ We regret that we have been unable to locate the return(s) for the year(s) 1977 in our files for the district and under the identification number shown in your request. Our research will be concluded unless you have additional information to submit, such as a corrected number or another location where you filed.

☐ We have received your request for copies of your tax return(s). We may not be able to fill the request and return the copies to you by April 15th. Enclosed is a Form 2688, Application for Extension of Time to File U. S. Individual Income Tax Return. Please complete the form and return to us if you need the photocopies to file your return.

If you have questions concerning this correspondence, please call the above referenced telephone number between 7:30 a.m. and 4:00 p.m. CST.

Thank you for your patience and cooperation.

Sincerely yours,

Robert [illegible]

Chief, Taxpayer Assistance Section

Enclosure
Form(s) 4506
Photocopy(s)

P.O. Box 30309, Memphis, Tenn. 38130

SE SC - 234 (5-79)

Exhibit 4-17. Examples of problems with IRS requests (continued)

Internal Revenue Service Center
North Atlantic Region

Department of the Treasury

Date: 5/3/79

Social Security or Employer Identification Number:

Form Number: 1040

Tax Period: 1977

Payment Received with Request:

Westat, Inc
Attn. James Hicks
11600 Nebel St.
Rockville, Md 20852

Dear Mr. Hicks,

We received your letter requesting photocopies of the tax forms identified above, and we would like to help you.

The paragraph checked on the back will tell you what to do to obtain the copies you need or will explain why we cannot furnish them. Please attach this letter to any additional information you send us.

Thank you for your cooperation.

Sincerely yours,

Robert A. Gagne

Chief, Tax Assistance Section

Enclosures:
- ☐ Form 4506
- ☐ Form 5063
- ☐ Forms 2848 and 2848D
- ☒ Copy of this letter
- ☐ Envelope

MAY 10 1979

(over)

1040 Waverly Ave., Holtsville, N.Y. 11799

Letter 50 (SC) (Rev. 11-77)

[illegible] may

Exhibit 4-17. Examples of problems with IRS requests (continued)

☐ The return is now being processed with many others, and it may take up to 60 days before we can send the copy to you. We will mail it sooner if possible, however.

☐ To provide us with additional information needed to identify the return, please complete the enclosed Form 4506. If we have checked any items on the form, you need complete only those checked.

☐ Enclosed is your Form 4506. Please complete the items checked on the form and send it to us.

☐ Please submit the signature of the principal officer of the corporation, attested to by another officer or the secretary, under corporate seal if any, authorizing us to release the photocopies to you.

☐ We do not have enough information to locate the return. To help us search further, please fill in the enclosed Form 5063 and send it to us.

☐ To send you a copy of another person's return, we need a completed Form 2848 or 2848D, or other properly written power of attorney or tax information authorization. Forms 2848 and 2848D are enclosed. If the taxpayer is deceased, you should send us a certified copy of your letters of administration or testamentary. If more than a year has passed since the letters were issued, you must also send us a certification from the clerk of the court stating that the letters are still in force.

☐ We have no record of your return(s) being filed with the social security number and address you provided. If any of the information you submitted is incorrect, please complete the enclosed Form 4506 and send it to us. If the information you gave us is correct, please complete and send us Form 5063, also enclosed.

☐ The signature on the request does not match the signature on the return. Please submit a statement including the following:

1. I am the taxpayer on whose behalf the return was filed.
2. I understand that attempting to secure a copy of a Federal income tax return under false pretenses is a violation of Section 18 U.S.C. 1001, Internal Revenue Code.
3. The reason for the signature discrepancy.

______________________________ ______________

Signature of taxpayer (or requester) **Date**

______________________________ ______________

Signature of person attesting, if required **Date**

THIS OFFICE HAS NO RECORD OF YOUR
____1977____ RETURN (S) BEING
FILED WITH THE SOCIAL SECURITY
NUMBER AND ADDRESS YOU PROVIDED.

Letter 50 (SC) (Rev. 11-77)

Internal Revenue Service Center
Western Region

Department of the Treasury

Date: MAY 14 1979

Identification Number:

Tax Form: 1040

Tax Year(s): 1977

Person to Contact:
Carl Barker

Contact Telephone Number:
801-626-3701 (Not a toll-free no.

Refer Reply to: 53220

Dear Taxpayer(s):

We have received your request for photocopy(s) of the above-referenced tax return(s). It is being processed as follows:

☐ Enclosed you will find the requested photocopy(s) of the income tax return(s) for the year(s) ____________________.

☐ We are still in the process of researching your request for the tax year(s) ______________. We will bill you when we send the copies.

☑ After a thorough search, we have been unable to locate the tax return(s) for 1977 in our files under the identification number shown above. Our search consisted of the following States(s): Minnesota ______________.

☐ Our records indicate that the return for the year(s) ____________ was filed, but we are unable to obtain a copy at this time.

☐ If you still need a copy or have further information, please resubmit your request on the enclosed Forms 4506 in 60 days, and include this letter to help us research our records again.

☐ We are enclosing the bill for copies of the tax return(s) that we previously sent you.

☐ Individual income tax returns for the year(s) ______________ are no longer available because they have been destroyed by authorization from the U. S. Congress.

☐

Enclosures:

Sincerely yours,

Lenore L. Looney

Chief, Correspondence Section

Ogden, Utah 84201

FL-1750 (Rev. 3-79)

Exhibit 4-17. Examples of problems with IRS requests (continued)

Internal Revenue Service Center
Western Region

Department of the Treasury

Date: [illegible]

RECD MAR 2[illegible] 1979

Social Security or
Employer Identification Number:

Form Number:
[illegible]

Tax Period:
1-77

Payment Received with Request:

We received your letter requesting photocopies of the tax forms identified above, and we would like to help you.

The paragraph checked on the back will tell you what to do to obtain the copies you need or will explain why we cannot furnish them. Please attach this letter to any additional information you send us.

Thank you for your cooperation.

Sincerely yours,

Ruth Hale

Chief, Correspondence Section

Enclosures:
☐ Form 4506
☐ Form 5063
☐ Forms 2848 and 2848D
☐ Copy of this letter
☒ Envelope

(over)

301

Fresno, California 93888

Letter 50(SC) (3-77)

Exhibit 4-17. Examples of problems with IRS requests (continued)

☐ The return is now being processed with many others, and it may take up to 60 days before we can send the copy to you. We will mail it sooner if possible, however.

☐ To provide us with additional information needed to identify the return, please complete the enclosed Form 4506. If we have checked any items on the form, you need complete only those checked.

☐ Enclosed is your Form 4506. Please complete the items checked on the form and send it to us.

☑ The signature on the request does not match the signature on the return. Please sign your name below exactly as it appears on the return.

☐ Please submit the signature of the principal officer of the corporation, attested to by another officer or the secretary, under corporate seal if any, authorizing us to release the photocopies to you.

☐ We do not have enough information to locate the return. To help us search further, please fill in the enclosed Form 5063 and send it to us.

☐ To send you a copy of another person's return, we need a completed Form 2848 or 2848D, or other properly written power of attorney or tax information authorization. Forms 2848 and 2848D are enclosed. If the taxpayer is deceased, you should send us a certified copy of your letters of administration or testamentary. If more than a year has passed since the letters were issued, you must also send us a certification from the clerk of the court stating that the letters are still in force.

☐ We have no record of your return(s) being filed with the social security number and address you provided. If any of the information you submitted is incorrect, please complete the enclosed Form 4506 and send it to us. If the information you gave us is correct, please complete and send us Form 5063, also enclosed.

Signature of taxpayer (or requester) Date

Signature of person attesting, if required Date

If we do not hear from you within 30 days we will assume you no longer need the requested photocopy.

Letter 50(SC) (3-77)

Exhibit 4-17. Examples of problems with IRS requests (continued)

Internal Revenue Service
Department of the Treasury

RECD APR 27 1979

Internal Revenue Service Center
Southwest Region
Austin, Texas

3651 S. Interregional Highway, Austin, Texas 73301

Person to Contact:
Jo Ross
Telephone Number:
(512) 397-7654 (not toll free)
Refer Reply to:
591067:1p
Date:

Westat, Inc.
Attn: James Hicks
11600 Nebel St.
Rockville, MD 20852

Dear Sir or Madam:

- We have received your request for photocopies and the signature does not match our signature of record. Because of the stricter disclosure laws and penalty provisions which are now in effect, we must take extra precautions to protect your tax information. Therefore, we need to obtain your notarized signature. Please take this letter to a notary public for proper certification of the items shown below and return it within two weeks so that we can complete your request.

Sincerely,

(Mrs.) Jo Ross
Manager, Taxpayer
Contact Unit

Enclosure
Envelope

Name of Taxpayer ______________________

Social Security Number ______________________

Current Address ______________________

Mail Photocopies To ______________________

Signature of Taxpayer ______________________

Before me this day personally appeared the applicant(s) whose signature(s) appear above who by me being duly sworn upon oath says that the statements set forth above are true and correct.

Subscribed and sworn to before me this _____ day of ___________
19 ____.

Notary Public ______________________

County or Parish ______________________

State ______________________

NOTARY SEAL

Exhibit 4-17. Examples of problems with IRS requests (continued)

Internal Revenue Service Department of the Treasury

Internal Revenue
Service Center

Southwest Region
Austin, Texas

3651 S. Interregional Highway, Austin, Texas 73301

Person to Contact:
Jo Ross
Telephone Number:
(512) 397-7654 (not toll free)
Refer Reply to:
591703:1p
Date:
March 29, 1979

Your request for a photocopy was incomplete. We must have all items on the front of the enclosed Form 4506 complete and properly signed, before we can furnish a photocopy. A separate form should be completed for each copy requested and signed exactly as the return was signed. Printed or xerox copies of signatures will not be accepted. The social security number or employer's identification number, whichever is applicable, must be entered on the form. Husband's social security number must be shown if return was filed jointly.

Sincerely,

Jo Ross

(Mrs.) Jo Ross
Manager, Taxpayer Contact Unit

Enclosures 2
Form 4506
Your correspondence

RECD APR 0 6 1979

4.9 Field Memorandum and Procedural Changes

Interviewers and supervisory staff working on the BEOG study were informed of changes or updates to procedures by one of two ways:

- Field memorandum, and
- BEOG Field Procedure Policy reports.

a. Field Memorandum

Field memos were sent to interviewers and supervisors to note any sufficient changes in procedures. Most field memos for the main phase of the field period were sent during the first two months. Three such field memos were issued to the interviewing staff:

- Field memo #1: Revised procedures for reviewing documents, sending materials to Rockville, and use of student/parent address update cards.
- Field memo #2: Revised procedure for handling 4506 request and telephone review sheet, as well as obtaining social security number of the respondent.
- Field memo #3: Recordkeeping for nonresponse cases, the OMB number and reporting to the field supervisor.

Copies of these field memos can be found in Appendix E-1. After the interviewer received the memo, the supervisor reviewed the contents of the memo with the interviewer during his/her weekly report. This was done in order to make certain that the interviewer understood each item in the memo and to ensure prompt implementation of the procedure. Although this was helpful in reviewing the contents of the memo, we still feel that it took approximately two reporting periods for all interviewing staff to become thoroughly familiar with the procedural changes.

The supervisors, in addition to receiving a copy of each interviewer memorandum, also received a series of field supervisor memos noting changes made in regards to their activities and also how to implement at their end changes that were made in interviewer procedures. The series of memos included:

- Supervisor field memo #1: Weekly Reporting Schedule.
- Supervisor field memo #2: Field Edit Procedures.
- Supervisor field memo #3: Transfer of Cases.
- Supervisor field memo #4: Use of Escort and Interpreters.
- Supervisor field memo #5: BEOG Field Procedures Policies.
- Supervisor field memo #6: Additional Record Keeping Forms
- Supervisor field memo #7: Cases in Outlying Areas.
- Supervisor field memo #8: Interviewer Evaluations.

Copies of all these memos can be found in Appendix E-2.

Field memorandums were only issued when a major change or update or procedure needed to be communicated. Minor changes were verbally communicated to both interviewers and supervisors.

b. Procedural Changes and Special Case Documentation

In addition to field memorandums, procedure and policy memorandums were developed to communicate or clarify problems that arose in the data collection effort. The vehicle for communicating such problems was the BEOG Field Procedure Policy.

The policy memorandums dealt with problems of a general nature for which a resolution could be provided that would be applicable to a variety of situations. For example, one can consider a student who applied for a BEOG grant, received the SER, but never enrolled in the institution. The resolution for this problem would be identified as a general procedure change and thereby would allow the supervisor and interviewer to apply this change in future situations that were similar. Also, there were specific problems for which individual resolutions were provided.

The procedures for obtaining a policy resolution were as follows:

- The interviewer encountered a problem which either needed resolution before the interview could be conducted or required after-the-fact resolution. The problem was telephoned to his/her supervisor.
- The field supervisor contacted the field director as soon as possible after talking with the interviewer.
- The field director entered a problem summary on the BEOG Field Procedure Policy and outlined possible resolution and decided whether or not it was necessary to obtain BSFA/DQA approval on the resolution.
- If BSFA/DQA was contacted, the field director discussed the problem and possible resolution and obtained BSFA/DQA approval.
- The field director telephoned the supervisor with the resolution and had the policy distributed to all field supervisory personnel and BSFA/DQA.

Some examples of Field Procedure Policy memoranda can be found in Appendix E-3.

4.9.1 Quality Control of Field Work

The field quality control procedures for the BEOG study required:

- Editing of questionnaires by the interviewer,
- Summary field edits by supervisor, and
- Field observations by Westat Rockville staff and field supervisory staff.

a. Interviewer Field Edit

The editing procedures for the field interviewers were outlined in the Interviewer's Manual. The purposes of this interviewer field edit were as follows:

- Have the interviewer catch and correct, or explain, errors and ommissions in recording,
- Have the interviewer learn from mistakes so they are not repeated,
- Clarify handwriting and written abbreviations, and
- Have the interviewer add comments in parentheses which might help to understand a response or an interview as a whole.

Interviewers were instructed to edit their questionnaires as soon as possible after the interview was conducted so that at the end of an interviewing day it would not be necessary for them to attempt to recall details about more than the last completed interview. The interviewer edit was done in blue pencil to distinguish it from the supervisor edit.

b. Supervisor Field Edit

Supervisor instructions for the field edit required that they edit 100 percent of the first five cases of an interviewer's completed cases and 20 percent thereafter. Each supervisor was provided with a selection chart for determining which cases should be selected for the edit and an edit summary page to be completed for each edited case. A copy of each edit summary page was sent to the interviewer and the original was kept by the supervisor. During each reporting week, the supervisor would review each summary page with the interviewer. Once this review was completed, the supervisor would forward to Rockville his/her copy of the summary edit.

Once the edit page was received in Rockville, the assistant field director would review each summary and contact the supervisor if he found any significant errors. This was simply to make certain that the supervisor did review the edit summary (with the interviewer). It should be noted that the field edits were completed before and were not a replacement for the Rockville Receipt Control editing and validation activities.

c. Field Observation

In addition to the field edit, whenever possible, field observations were conducted. Rockville office staff and field supervisory staff would visit with the interviewer in the home of a respondent to observe an interview being conducted. These observations were conducted to not only allow the staff to see interviews being conducted first hand, but also to determine if there were any significant changes that should be made in how the interview was conducted, obtaining the consent of the selected respondents, or problems associated with the respondent obtaining the necessary documents.

4.10 Field Problems and Production Incentives

4.10.1 The Stay-Ready Period

There were a number of problems that affected the field period. They were:

- Delays in receiving OMB clearance,
- Bad weather during interviews,
- Interviewer attrition,
- Difficulty in locating respondents, and
- The gas shortage.

The stay-ready period between training and the start of the field work was required primarily because of delays in OMB clearance before starting work. During this period, some interviewers resigned either because they needed the money and had to take other employment offers or were offered other jobs that were more permanent in nature. In general, the stay-ready period had some effect on the quality and quantity of the early production of many interviewers until they finally got into the swing of the initial field period.

4.10.2 Weather Problems

Fielding the survey at the height of the winter caused some serious losses of time due to inability to travel locally in many areas hit hard by snow. This situation could also be found in sites that do not traditionally have snow or freezing rain but did have it last winter. Personal feelings about whether or not one is equipped to handle serious weather conditions far outweighed any urging given to interviewers to go ahead and give it a try. Alleviation of this problem was a two-fold effort. Traveling inteviewers were sent in once the weather had cleared to help increase production, and the four traveling troubleshooters also were sent into some of the sites that had experienced problems with the weather.

4.10.3 Attrition

In addition to the attrition caused by the stay-ready period, other staff loses were experienced after the initial field period began. Between the loses suffered by interviewers who resigned and those who were released for poor performance, three sites ended up with no interviewing personnel and 10 sites carried out their work with one less staff member than the caseload dictated. Team and individual travel covered the unstaffed areas. Three of the understaffed areas were handled by an increased workload on the part of the remaining interviewer(s). The other seven understaffed areas were visited by traveling interviewers.

4.10.4 Locating Respondents*

A combination of two factors contributed to the problems experienced in locating respondents: 1) variations in school schedules - semester, quarter or tri-mester, spring break or Easter vacation, and final exam period and graduation; and 2) the wide variety of sources for obtaining location information, e.g., address update cards, interviewer inquiries at schools or at neighbors addresses, Westat's calls to registrars and FAO's, post offices searches, calls to directory assistance and campus switchboards, and checks with one-half of a parent/student set.

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* This discussion does not include problems in locating independent parents.

In regard to variations in school schedules, time often was lost trying to locate students when school was not in session, when they had moved to a new school address, when they were about to leave school, or when they were busy preparing for exams and graduation. Student cases were sometimes transferred back to the parent address because they could not be located on campus, or parents had to be called for information on the whereabouts of their child.

The use of some or all of the avenues for obtaining location information often resulted in the gathering of conflicting information which had to be checked again. Address listings such as post office boxes or "Main Campus, State University" presented complications that could have been avoided if participating institutions had kept more accurate and current records on parents and students. Several listingsof sampled students were returned to Westat with incomplete information such as student address, no address at all, and no phone numbers. Calls to registrars and FAO's usually resulted in collection of sufficient additional information. Other methods were less successful, athough some information was obtained by each of these means. The address update card method of repondent location was a good system that worked well -- if the respondents used it. There were a few cases of intentional falsifications of new addresses and phone numbers associated with the address update cards; however most respondents who did not wish to be found never sent in the cards.

4.10.5 The Gas Shortage

Throughout the second field period, some of our interviewers had mild to serious problems getting gas for their cars. This problem had an effect on the level of effort put into the second field period and resulted in the cancellation or reduction of attempts to reach respondents who were over 50 miles from an interviewer's home site. Travel within the western States was restricted to major city areas with a sizeable number of cases clustered within or very near the city limits.

4.10.6 Production Incentives

As is the case with any field survey, incentives are always needed to help maintain morale and increase production when it falls short of expectations. Over the course of the two field periods on the BEOG survey, a variety of production incentives were used.

a. The Stay-Ready Bonus

At the onset of the initial field period, each interviewer trained during one of the first three training sessions was looking forward to receiving the "stay-ready bonus." This $50 per week bonus covered the weeks before the end of training and the receipt of cases. It was paid at the end of the second week in February and was received by the interviewers right after they had finished paying their Christmas bills.

b. Travel Raises

Interviewers who agreed to work in areas outside of the local radius of 50 square miles were given a temporary pay increase of $.50 per hour for all work done while they were traveling. This temporary raise helped to offset any apprehension interviewers may have had about going to a strange place or being away from home for several days.

c. Bringing in Traveling Interviewers

The introduction of traveling interviewers to an area, arrangements made for team-work or transference of cases, and the recognition that the local interviewers' work was not up to par served to inspire the local interviewers to be more productive during and after the traveling interviewers' stay.

d. Permanent Raises

A select few traveling interviewers who had done superior jobs of cleaning up troubled areas were given permanent hourly raises which applied to local work and out-of-town work. These persons were used quite often as travelers, especially in sites that were completely unstaffed due to attrition. In effect, they were given a promotion and this kept their level of effort and quality high.

e. Overtime

During the last three weeks of the initial field period and throughout the second field period, local interviewers in areas with serious backlogs and traveling interviewers were allowed to work overtime in order to get the job done. The allowance of overtime greatly increased production during these times.

4.11 The Second Field Period

Toward the end of the initial field period, it became apparent that some adjustments had to be made to accommodate the changes in the caseload that had taken place during the first two- and one-half months of field work. A few sites were already closed, and several others were nearing completion. There were no new cases left to be assigned, but project time constraints hindered preparation of those cases needing a second or third assignment. This situation was complicated by the fact that more cases needing re-assignment were arriving in the office each day, and it became clear that much re-grouping had to be done and that a second field period was needed.

4.11.1 Identification of Tasks

In order to initiate a second field period, the following tasks had to be performed:

- All sites had to be closed and all incomplete assignments had to be evaluated by the home office staff.
- The majority of the interviewing and supervisory staff had to be phased out totally, as the remaining field work would require only one-third of the field staff.
- Time was needed to group the outlying cases for intensive travel coverage and to make travel plans.
- Unlocateable cases that had been tracked and had new addresses needed to be prepared to go into the field.
- An intensive validation effort for the cases lost in transit and falsified cases had to continue in order to put those cases back into the field.

- The nonresponse followup system was in its early stages, and much work was needed to identify all nonresponse cases and return the conversions to the field. The two-stage warning letter system used for nonresponse cases required about three weeks to pass before punitive action could be taken; therefore these cases would be going into the field over a period of three to four weeks.

The projected time and effort for completion of these tasks and re-activation of the field staff required the attention of the entire Rockville staff for a three- to four-week period. New procedures for handling the assignment types that had not existed before (lost, falsified and nonresponse cases) had to be developed, revised, and approved before any other work could start on the second field period.

4.11.2 Preparation for the Second Field Period

a. Interviewer Phase-out

During the third week of March, interviewers were notified through their supervisors that all work in their possession should be mailed in by April 4, 1979 regardless of the status of completion. Only cases for which definite appointments had been made could be kept after that date, and those were to be mailed directly to the Rockville office upon completion. The best interviewers in each area were told that they might be needed for some followup work at a later date and were asked about their general availability over the next month or two. A roster of interviewers available for the second field period was developed. Of the 99 original interviewers, 30 were needed for the second field period; 22 on site and 8 travelers.

b. General Case Preparation

Over the interim period, all 4,500 cases were completely reconciled and accounted for and five lists of the potential caseload for the second field period were developed. Those lists were as follows:

- List A - Remaining cases: Composed largely of outlying cases and included cases that did not have all of the appropriate contacts or had not been worked on at all by any interviewer.
- List B - Lost cases: All cases lost in transit to the supervisor or the Rockville office. The cases lost in transit to the supervisor were validated to assure that they had been completed before.
- List C - Falsified cases: All cases identified through validation as having been completed via telephone, during an extremely short in-person visit or that had never been contacted by an interviewer at all.
- List D - Nonresponse: Composed of all cases of refusal or avoidance. Those selected for conversion during the second field period had agreed to be interviewed after receiving warning letters.
- List E - Unlocatable: All cases interviewer could not locate in person for which update address information had been obtained.

Intensive work was done to completely develop each list of cases for refielding. A determination was made concerning each category as to the extent of refielding coverage and priority needed to complete as many cases as possible while minimizing field time. Nonresponse conversion was given the highest priority, falsified and lost cases were considered to be second in importance, and remaining and unlocatable cases were the lowest priortiy. In that last category, Lists A and E (remaining cases and unlocatables), sampling by ZIP code was done to match or closely approximate the ZIP codes in or adjacent to areas where BEOG interviewers live. This was done to minimize long-distance travel and maximize coverage of cases. Lists B, C, and D (Lost, Falsified and Nonresponse) were to be re-assigned in total.

c. Supervisor Phase-Out

After assisting in the general preparations for the second field period, four regional supervisors were phased out of the study. Regions 3, 4 and 5 were combined with Region 6 into one large region and Region 2 was combined with Region 1 for the same purpose. The supervisors in Regions 1 and 6 were each given half of the country as their supervisory territory for the second field period.

d. New Procedures and Interviewing Materials

The changes in the nature of and additions to the various case types used in the initial field period brought about the need for new procedures and materials to be used during the second field period. Basic interviewing materials and procedures were not changed; new materials and procedures were added to accommodate different assignment types.

(1) Dropping Independent Parents - A review of all independent parent questionnaires concerning the value of the data collected was weighted against the effort and time put into obtaining these interviews. It showed little positive return for the efforts made to contact these respondents. After also considering the lack of locating information for independent parents and the number of

refusals by these parents and by the independent students on behalf of their parents, the decision was made to drop independent parents from the remaining caseload.

(2) Telephone Interviews - In the interest of saving time and avoiding what might appear to be respondent harrassment, it was decided that interviews with nonresponse and lost case respondents could be conducted via telephone, but ONLY if the individual respondent did not want to be visited by an interviewer. Interviewers would be instructed to proceed as usual, with attempts to make an appointment for an in-person interview during the first re-contact call. At that time, if the respondent expressed great reluctance about another visit, the interviewer was to offer to complete the interview by telephone rather than risk a refusal.

After considering the small amounts of information and documentation received from dependent students, it also was decided that dependent student interviews could be conducted via telephone, but again, only after an attempt had been made to schedule an in-person interview.

The language of some questions was changed slightly for telephone interviews. New instructions advised interviewers to drop all references to visual aids and read the various lists of choices in questions using these visual aids. In addition, the questions about current documentation were slightly re-worded to read, "What document do you now have for validating this item?" rather than "Could you plese show me the document you have for validating this item."

(3) Introductory Materials - Original status differences in the cases refielded during the second field period called for new introductory statements for each new assignment type (Lost,

Nonresponse and Falsified). New introductory statements were designed to outline the reasons for or circumstances surrounding the additional contacts being made by Westat interviewers. Exhibit 4-18 shows how the wording of introductory statements was adapted to fit the new assignment types. An open letter to BEOG respondents was generated to update the original advance letter which explained the survey. The open letter was used in conjunction with the original advance letter, the list of frequently asked questions, and the appropriate introductory statement when interviewers made field visits.

(4) Field Validation - Among the cases to be validated were several with no phone number or with disconnected numbers. The majority of these cases were those alleged to have been completed by interviewers who had falsified much of their work. All of these cases were refielded during the second field period for in-person validation. Interviewer instructions for handling field validations were to conduct the validation in person, and if necessary, stop at any point in validating when it became quite clear that no interview had ever been done or that the duration of an interview indicated that it had not been done correctly or completely. Whenever an interview needed to be conducted, the interviewer was to use a modified version of the introductory statement provided for falsified cases to explain to the respondent why they were being interviewed again.

4.11.3 Refielding the Survey

When all preparations for refielding had been made, a week of start-up time was used to actually put the survey into full operation.

Exhibit 4-18. Interviewer statements

INTERVIEWER STATEMENT REGARDING LOST CASES

Hello, my name is ___________ and I am calling in regard to the Basic Grant Study in which you were a recent participant. According to our records, one of our field representatives completed an interview with you. Recently we discovered that we do not have the questionnaire containing the information that was gathered by our field representatives. Some completed questionnaires, which we believe included your interview, were lost in transit to our Rockville, Maryland processing center. To date we have been unsuccessful in our efforts to locate these questionnaires.

Because the information you provided is important to the overall evaluation of the BEOG program, we would like to re-interview you. We appreciate very much your previous cooperation on this study and are only asking you for a re-interview because of the importance of your responses to the validity of the study. (If dependent student state: This re-interview could take place by having one of our field representatives visit your household again, or by conducting the interview over the telephone.) "May I _________________: (TEL: conduct the interview now? IN PERSON: schedule a convenient time?)"

INTERVIEWER STATEMENT REGARDING FALSIFIED CASES

Hello, my name is ___________ and I am calling in regard to the Basic Grant Study. According to our records (one of our field representatives completed an interview over the telephone with you/you mentioned to one of our validators that you were not interviewed for the Basic Grant Study). This was not in accordance with the prescribed procedures for this study and therefore the representative has been recommended for dismissal. Because (the interview was conducted over the telephone/you were not interviewed), we will need to conduct an interview in person with you.

During this interview you will be asked to show certain financial records to verify the information submitted on the grant application. I would like to go over the list with you and find out what documents you will have available. READ DOCUMENTS OF APPROPRIATE RESPONDENT TYPE. What is a convenient time for me to schedule an appointment?

4-18. Interviewer statements (continued)

Hello, my name is _____________ and I am calling in regard to the Basic Grant Study. According to our records you recently contacted our office and indicated you were willing to participate in the study. I think the person you spoke with informed you that I would be calling to set up a convenient time for the (in-person/ telephone) interview.

IN-PERSON

During this interview you will be asked to show certain financial records to verify the information submitted in the grant application. I would like to go over the list with you and find out what documents you will have available. READ DOCUMENTS OF APPROPRIATE RESPONDENT TYPE. What is a convenient time for me to schedule an appointment?

TELEPHONE

Before I begin the interview I am going to go over a list of financial records with you to find out which of these records you have available. READ DOCUMENTS OF APPROPRIATE RESPONDENT TYPE. (After going over list, if R has income tax forms state: I am enclosing in the mail to you a form for requesting a copy of your 1977 IRS 1040 or 1040A tax form, with any supporting schedules you used at the time of filing. We will submit the form to the correct tax office you have designated, have the copy mailed directly to you, and pay the necessary charge for obtaining the copy.) Now I would like to begin the interview by asking...(GO TO Q.A-1).

a. Re-activating Interviewers

Interviewers who had been identified previously were called by the administrative field supervisor and told that the second field period would be starting the following week. They also were informed of a change in supervision which would have them reporting weekly to the administrative field supervisor at the Rockville office rather than a regional supervisor. Supply needs were noted and packages of additional supplies, new supplies, and updated procedures were sent to each interviewer. During this phone conversation each interviewer was told an approximate number of cases they were expected to work on, the general locations in which they would be working, and whether their cases were all local, out-of-town or a combination of both. Some information on the new assignment types was given and each interviewer was specifically instructed to call the administrative field supervisor after receiving and reviewing the new procedures for a telephone update training conversation.

b. Update Training

A cover memo, a copy of the open letter to respondents, and two attachments ("Procedures for Followup Field Work on BEOG" and "Interviewer Statements") were the basic materials used to conduct update training. An optional enclosure to selected interviewers was a Validation Form. Exhibit 4-19, Attachment A, was used by the administrative field supervisor as the main instrument for training. As previously noted, each interviewer was to call the supervisor immediately after receiving and reviewing the new materials. Then, depending on the types of assignments, a detailed conversation took place to highlight all items listed in both attachments as necessary, give specific information on handling special cases, establish a reporting time, and answer

Exhibit 4-19. BEOG validation form

Attempts to Validate

Day/Date	Time	Comments
1.		
2.		
3.		
4.		

Case I.D. #__________________ Date of Validation__________

Respondent's Name__________________ Date of Interview__________

Interviewer ID__________________

Hello, is __________________ (respondent's name) there? My name is __________________ (your name) and I am with Westat Research Incorporated.

1. Did an interviewer from Westat interview you recently concerning (your/son's your/daughter's) Basic Educational Opportunity Grant?

ALL

Yes 1 (Q2)

No . . . . 2 THANK R AND TELL HIM/HER THAT YOU MAY BE RECONTACTING HIM/HER.

DK . . . . 3 GIVE R DETAILS ABOUT STUDY. IF R STILL UNSURE, TELL HIM/HER THAT YOU MAY RECONTACT HIM/HER.

I would like to thank you for participating in the study. I would like to take a few minutes to ask you some questions so that we may better understand the information you provided us during the interview.

2. Where did the interview take place?

ALL ____________________________________

____

3. How long did the interview last?

ALL ____________________________________

324

Exhibit 4-19. BEOG validation form (continued)

4. You may recall that you were requested to have certain documents ready for the interview. Can you remember what documents you actually did show the interviewer during the course of the interview?

ALL

Docs in Section B (Current)	Val Response Docs

5. Did the interviewer show you examples of application forms that might be used for the purpose of applying for a Basic Educational Opportunity Grant?

ALL

6. Did the interviewer ask you if you had any trouble completing any items on the application form?

ALL

DATA RETRIEVAL: NOW RE-ASK ANY QUESTIONS THAT WERE OMITTED OR ARE SER DISCREPANT. IF NONE, GO TO ADDITIONAL VAL Q'S OR TERMINATE WITH Q.10

OPTIONAL VAL Q's: IF YOU ARE UNCERTAIN ABOUT THE INTERVIEWER'S HANDLING OR ANY ASPECT OF THE INTERVIEW, ASK THE FOLLOWING OPTIONAL QUESTIONS. IF NO PROBLEM, TERMINATE WITH Q.10.

Exhibit 4-19. BEOG validation form (continued)

7.
OPTIONAL
VAL-
DS
ONLY

Were you listed as an exception on your parent's Federal income tax for 1977?

	B-12	Val Resp.
Yes	1	1
No	2	2
Didn't file in 1977	3	3
DK	4	4

8.
OPTIONAL
VAL-
IP
ONLY

Did you assist in filling out the application?

	B-5	Val Resp.
Yes	1	1
No	2	2
DK	3	3

9.
OPTIONAL
VAL-
IS
AND
DP
ONLY

On the date you signed the application, what was the total size of your household including yourself, spouse, dependent children and other persons who live with you and received more than half their support from you?

B-22	Val Resp.
(Household Size)	(Household Size)

10.
ALL

I would like to again thank you for participating in this study. Are there any comments you would like to make about the interview, the interviewer, or this call?

____

____

____

____

any questions the interviewer had about the work. Tentative travel plans and procedures were established with the interviewers who had out-of-town assignments. Interviewers also were told to call back if anything still seemed to be unclear or if they had any problems in using the new procedures.

c. Field Progress and Results

The second field period progressed relatively free of problems. All assignments were worked to the fullest extent. Respondent cooperation was very good, particularly that of the List B, Lost Cases respondents; there were no refusals to be re-interviewed in this category.

During the 20-day field period, 30 interviewers worked on 398 cases; 313 (79 percent) yielded complete interviews. A report with the actual breakdown by case disposition was issued following the close of the second field period. That report appears in Exhibit 4-20. The figures from the second field period also were added to the total field figures.

Exhibit 4-20. Final disposition of cases for second field period

Region No. ALL

		Total
A.	Number of cases held by supervisor	0
B.	Number of cases in route to interview	0
C.	Number of cases assigned to date	390
D.	Number of appointments	0
E.	Number of closed out:	398
	• Number of complete, some documentation	177
	• Number of complete, no documentation	136
	• Number of not home after 3 visits/avoidance	9
	• Number of refusals	2
	• Number of breakoffs	1
	• Number of "other/still eligible"	73
	• Number of "other/ineligible":	
	- Deceased	
	- Out of country	
	- Terminally ill	2
F.	Number of hours worked last week	0
G.	Total number of cases returned to supervisor before this week	0
H.	Expected completion date	0
I.	Number sent to Rockville (Cum)	398

CASE CODES: 5 - Transfer within region; 6 - Transfer out of region; 7 - Weather, roads impassable; 8 - Language, no translator; 9 - Extended travel required; 10 - Illiness, not terminal; 11 - Never received grant; 12 - specify, ________________.

4.12 Data Retrieval

After a questionnaire was logged in, the SER check was performed. The clerk compared the actual SER values with the values reported on the questionnaire. Any discrepancies beyond those allowed under the proposed tolerance levels (Appendix D) were listed on a BEOG followup sheet (Exhibit 2-16). This sheet was attached to the front of the call record.

Then the questionnaire was coded according to the procedures outlined in Section 2.3.3. If any additional problems, ommissions or inconsistencies remained after coding and a review of the case by a supervisor, (Section 2.3.4) the list of these problems were also attached to the questionnaire. At this time a batch of questionnaires needing data retrieval or validation (Section 2.3.6) was transmitted to the telephone center for followup.

During the project over 1,100 cases were sent to the telephone center. Every interviewer's work was validated, and if it was found that the interviewer had falsified a case, then 100 percent of that interviewer's work was validated. In many cases both validation and data retrieval could be done at the same time.

When the batch of questionnaires was returned from the telephone center, the cases were processed according to the following guidelines:

- A response obtained over the telephone was coded for missing verification items.
- For SER discrepancies for which no documentation was shown during the interview, the response obtained over the telephone was coded except in the following situations:

1. If the telephone response was "Don't know" the reported value from the original interview was coded.

2. If the respondent was unsure of an answer on the telephone even though s/he gave an answer but the value differed significantly from the one given during the original interview, the value reported during the original interview was coded.

- If the telephone center was unable to contact the respondent, the values reported from the original interview were coded for SER discrepancies and the NO ANSWER code was entered for missing items.

4.13 Telephone Followup Survey

4.13.1 Purpose and Methodology

The telephone followup survey was conducted to:

- Ascertain the reason(s) for levels of inconsistency that were greater than had been anticipated between questionnaire data and SER values in the area of non-taxable income.
- Determine whether amounts reported by dependent students in Question B-60 reflected all individually owned assets.

The 1978-79 school year BEOG awards were based on information about a family's total income during the calendar year of 1977. After SER's reflecting 1977 income sources were compared to questionnaire data, inconsistencies in the amounts of nontaxable income were found that made it necessary to check on the actual time period for which these amounts were reported during the initial interview, and whether a full account of all non-taxable income sources had been obtained during the initial interview. Social security education benefits received by family members other than the survey respondents were a particular concern in this followup effort.

Full information on dependent students' trust accounts, inheritances, investments, and real estate holdings was thought to be possibly missing from the account of assets requested in question B-60. New questions pertaining to each of these issues were formulated and administered to a sample of dependent parents, dependent students, and independent students.

The followup interview for dependent parents and independent students quoted all amounts of non-taxable income reported in the initial interview and asked whether these amounts were for 1977 or 1978. The wording of questions was changed to ask about "you and your family" rather than just "you" the respondent. A question asking, "Did you or anyone in your household receive social security education benefits in 1977?" was added to the dependent parent/independent student questionnaire to determine the number of persons in each household who had received those benefits. Dependent students were asked if the amount quoted from question B-60 in their initial interview included assets such as trust accounts, inheritances, investments and real estate holdings, and, if not, the amounts of these assets at the time the 1978-79 grant application was signed were requested.

4.13.2 Data Collection

For the data collection effort, 493 cases were selected. The sample contained 212 dependent student cases and a proportional mixture of 281 independent student and dependent parent cases.

Five telephone interviewers did the followup calling; three of these interviewers were experienced Westat telephone interviewers and two were summer interns from the Macro staff. The data collection period lasted 12 days, which included two weekends and eight weekdays.

4.13.3 Findings

Completed cases (78 percent of those fielded) showed no substantial differences that would have affected student eligibility in the amounts reported by independent student and dependent parents. Reporting of the dependent student assets also showed no real difference in amounts reported in the initial interview. The actual figures appear in Exhibit 4-21.

Exhibit 4-21

BEOG Followup Case Disposition
Summary

	D.S.	I.S.	D.P.	TOTAL	PERCENT
A. Number of cases sampled	212	92	189	493	100.0
B. Number of cases fielded	206	92	189	487	98.8
C. Number of cases not fielded	6	0	0	6	1.2
D. Number of complete cases	176	63	146	385	78.1
E. Number of non-interview cases	30	29	43	102	20.7
Total (C + D + E = A)	212	92	189	493	

Independent Students and Dependent Parents (Q. B-47)

	I.S.	D.P.	TOTAL
Number of cases sampled	92	189	281
Number of cases fielded	92	189	281

	I.S.	D.P.	TOTAL
A. No difference in amounts reported	30	76	106
B. Difference reported, no effect on eligibility	32	66	98
C. Significant difference reported	1	4	5
D. Total complete cases (A. + B. + C.)	63	146	209
E. Non-interviews	29	43	72
Total number of cases fielded (D. + E.)	92	189	281

Dependent Students (Q. B-60)

Number of cases sampled	212	
Number of cases fielded	206	
Number of cases not fielded	6	(no phone number)

Complete cases answering Yes	174	
Complete cases answering No	2	
Total complete cases	176	
Non-interviews	36	(includes 6 not fielded)
Total	212	

5. INSTITUTIONAL DATA COLLECTION

5.1 Introduction

5.1.1 Summary

Visits to 210 postsecondary schools were conducted between November 1978 and March 1979 to interview financial aid officers about their institution's policies, procedures, experiences, and recommendations relating to the Basic Grant program. While on site, the interviewers also abstracted information from institutional records for a sample of Basic Grant recipients. The information abstracted covered various aspects of the administration of the student's Basic Grant award as well as factors involved in determining the student's eligibility for the award. Occasionally the sample was selected onsite, but usually it was selected before the site visits were conducted. Abstracts were completed on 2,300 students, representing 99.6 percent of the entire sample. Each institution required two to four days of onsite activity, and a total of over 800 person-days were spent. Exhibit 5-1 on the following page shows the actual task completion dates.

5.1.2 Overview

In the next few sections, a chronology of the institutional data collection is given, beginning with instrument design and pretesting and continuing into training, data collection quality control measures, coding, and editing.

Exhibit 5-1. Data collection tasks and completion dates

DATA COLLECTION SCHEDULE--ACTUAL COMPLETION DATES

Data Collection Task	Date Completed
● Conduct Pilot Test of Survey Instruments	10/78
● Develop Training Program	11/78
● Select and Train Interviewers	11/78
● Conduct Field Work	3/79
● Edit/Code/Process Data	5/79

5.2 Instrument and Analysis Plan Design

Macro developed the conceptual design of all instrumentation--both institutional and student/parent--used in this study. In addition, Macro developed an integrated data analysis plan covering all data sets and research objectives of the study.

Instrument design was accomplished within 90 days of the beginning of the contract. During that time drafts of all forms were prepared, reviewed, and revised several times. Office of Education personnel played a key role in clarifying program regulations and their needs for program information. Additional reviewers from various offices concerned with clearance matters also provided significant inputs. Personnel from Westat, Inc., the prime contractor, reviewed the student and parent instruments for ease of field handling and made numerous changes in that regard. The Deputy Commissioner of the Bureau of Student Financial Assistance was briefed on the study design and projected time schedule.

5.3 Pilot Test

The pilot test was designed to achieve three major goals: 1) test proposed survey questions for purposes of final development, 2) discover problems in the site visit data collection, and 3) obtain an overview of institutional recordkeeping practices. The institutional survey instruments and data collection procedures were tested at nine Ease Coast postsecondary education institutions that included public, private non-profit, and proprietary schools. Seven used the Regular Disbursement System (RDS) and two used the Alternate Disbursement System (ADS).

The pilot testing of the financial aid officer interview (Part I) resulted in eliminating a number of questions found unnecessary or unproductive and rephrasing and/or expanding other areas of questioning. The test of the student record abstract (Part II) resulted in a revision of the abstract and reorganization of the questions to key them to the sources and locations of needed data at the institutions. In addition, the onsite exposure provided valuable feedback for development of final procedures and interviewer protocol. Macro staff members, members of the design team, and Office of Education personnel all participated in the site visits and subsequent revisions to the instruments.

5.4 Interviewer Selection and Training

A comprehensive training program and training manual were developed to provide field staff with an understanding of the BEOG program, the data collection forms, and the procedures necessary for accomplishing onsite activities. The two primary objectives of the training were:

- To provide participants with an understanding of the BEOG award process and the ability to use that understanding to verify the degree of accuracy of the award computation made by the institution, and
- To instruct participants in the mechanics of institutional data collection procedures and the conventions for completion of the institutional data collection instruments.

The training program administered to field staff consisted basically of small group lectures, group exercises based on case studies, and role playing. The most significant segments of the training included:

- Orientation and introduction by senior project staff from Macro Systems, Inc., and Westat, Inc.
- A talk by Mr. Ernst Becker, Chief of the Division of Quality Assurance, on the importance of the study to the Bureau of Student Financial Assistance (BSFA).
- Lectures, discussions, and group exercises, conducted by senior project staff and OE personnel.
- Presentations by OE Policy and Program Review staff which served to provide field staff with a "feel" for the institutional environment.
- Final review of data collection instruments, dissemination of data collection materials, and assignment of initial site visits.

Throughout the training program, a heavy emphasis was placed on the necessity of a consistent approach to data collection. Participants were cautioned against exercising independent judgments and were instructed to call and discuss issues related to selection of data sources and other problems impacting the data collection.

Twelve professional staff members were trained during the four-day training session held at Macro's offices. All participants completed the training and were immediately assigned an initial data collection assignment. All 12 made an initial site visit, completed the required data collection instruments, and, most importantly, identified any problems or concerns arising from the onsite experience. When they returned from the field, the interviewers attended a group debriefing, which resulted in a reinforcement of the data collection methodology and in further discussion and resolution of procedural/definitional problems.

Using the same training program, a second group of three interviewers was trained in early January. When they completed the formal training program, each of the three new interviewers was assigned to a "seasoned" interviewer and given onsite supervised training prior to being assigned to a full site visit schedule. This allowed review of each new interviewer's performance in a "hands-on" environment and helped to ensure continuity of data collection efforts.

Field staff performance and quality of data collection were monitored through a series of onsite visits by senior project staff. During these visits the senior staff member observed the methodology and protocols used by the interviewer. Inter-interviewer reliability of data collection was checked as follows:

- Part I Instrument--The observer completed Part I in response to the answers solicited from the FAO by the interviewer. After completion of the interview, the observer and interviewer compared Part I's, question by question, to verify consistency of data collection. All discrepancies were discussed and resolved.

- Part II Instrument--The observer completed a minimum of five Part II's for five of the students in the interviewer's sample. These five quality control copies were completed independently of the interviewer's activities. Upon completion of the site visit, the observer and interviewer compared the Part II's to verify consistency of data collection.

Similarly, Westat staff and OE staff accompanied selected interviewers on at least one site visit to confirm the integrity and consistency of the data collection process.

5.5 Interviewer Characteristics

Fifteen staff members were trained and given at least one introductory site visit to perform. Of the fifteen, approximately 50 percent were assigned full time site visit schedules, while the others devoted from 20-70 percent of their time to BEOG site visits. Because of the complexity of BEOG program operations and the importance of the onsite data collection, an attempt was made to utilize only experienced staff. In fact, 13 of the 15 interviewers were regular Macro staff members and only two new interviewers were recruited for the project. An overview of the field interviewers' educational backgrounds and field experience follows:

- Education--Five interviewers held graduate degrees (or more advanced degrees) while all interviewers possessed at least a bachelor's degree. No specific emphasis was placed on the type of degree or area of emphasis.
- Experience--Eight of the interviewers had been on several previous field assignments and were well equipped to handle the project. Of the other seven, five were full-time staff members who had at least been involved with data collection projects and only two had no previous data collection or field experience.

5.6 Description of Data Collection

The institutional data collection spanned the period from November 1978 to March 1979 and encompassed eight discrete phases. This section of the report provides a chronology of events and associated problems encountered during the data collection phases of the project.

The data collection schedule consisted of the following phases.

- Initial Training Session--The initial training session was held November 9-14. Twelve interviewers were trained at this session.
- Initial Site Visits--Beginning November 15, each interviewer was assigned one institutional site visit. Each site visit lasted approximately two days.
- Group Debriefing--Following the initial site visit, all interviewers were assembled and each interviewer related his/her site visit experiences/ problems. Each interviewer's instruments were thoroughly reviewed to confirm that he/she was following correct procedures.
- Begin Formal Data Collection--Beginning November 21, and immediately following the debriefing, all interviewers were assigned a full site visit schedule. Typically, the site visit schedule was established two to three weeks in advance and in some instances as much as five weeks into the future.
- Formal Cessation of Data Collection--At the direction of the OE Project Officer, data collection activities were temporarily terminated on December 4. A two-week delay ensued while all procedures were reviewed. Data collection resumed in full on December 18.
- Second Training Session--Interviewer attrition and the need to accelerate the data collection process to compensate for the December delay resulted in training three additional interviewers. These people were trained during the second week of January, and they began independent field work the last week of January.
- Special Debriefing--The OE Project Officer requested a special project team debriefing to provide information for Leo Kornfeld, the Deputy Commissioner of BSFA. The meeting was held on February 15 with all site team members attending.
- Site Work Completed--Site visits were completed by March 16.

5.7 Problems Encountered

Two general types of problems were encountered during data collection: 1) problems impacting the quality (integrity) of the data; and 2) problems impacting the time required for data collection. Of the two types of problems, the second predominated; in fact, there was only one major problem impacting the quality of data collected.

The major problem impacting the quality of data resulted from changes in the data collection instruments after the field work period had commenced. Although some changes were due to OE decisions, the majority were caused by organizational problems in the Student Record Abstract section. The changes were almost entirely in sequencing, skip patterns, and instructions with very few questions being changed.

As a result of this midstream shift, additional training was implemented. Nevertheless, such changes increased the probability of interviewer misunderstanding and error and significantly increased the coding and editing burden.

Problems impacting the time required for collection of data generally increased the level of resources needed and had minimal impact on the data quality. The following lists four problems that prolonged the onsite data collection.

- An inordinately high number of site visit cancellations resulted from attempts to schedule FAO's during the Thanksgiving, Christmas, and New Year's holiday periods. This not only prolonged the schedule but also resulted in a schedule that reduced the intended advantages of clustering site visits geographically.
- Weather conditions during the winter months were extremely severe. Interviewers often were unable

to secure transportation to and from scheduled sites. Severe weather compounded with FAO cancellations resulted in a high percentage of interviewer down time.

- Approximately 15-20 proprietary institutions utilized the services of a financial aid processor (contractor). The contractor maintained official financial aid files and in some cases, in effect, was the financial aid officer. This situation resulted in additional site visits to the institution and contractor or special arrangements to interview the contractor and review records at the contractor site.
- Onsite sampling to obtain a student sample was an additional task resulting from many institutions' inability to generate listings of 78-79 BEOG recipients. Especially during the early months of data collection, schools were still processing or had just finished making awards for fall '79 and were simply unable to compile a list of recipients quickly and accurately.

Fortunately, the problems presented above arose early in the data collection phase, thus allowing for appropriate corrective action.

5.8 Editing and Coding Collected Data

Every data collection instrument submitted by the field staff was subjected to a thorough manual edit and, to the extent necessary, data coding. Manual editing was performed according to a documented set of edit instructions and was conducted at two levels, as follows.

- The first level was simply an examination of the document to see that all data fields had been completed properly, skip patterns were correctly followed, no conflicting data items were reported, etc.

- The second level was a thorough review of the instruments in the context of the school's documented fee schedule, academic year, financial aid policies, etc. This second level of activity was concentrated on the student record abstracts.

Data discrepancies/problems were documented on an editing worksheet and immediately brought to the interviewer's attention. The majority of discrepancies discovered were minor and were resolved by the interviewer after a simple "desk review" of the instruments. In rare cases (fewer than five institutions), it was necessary to call the school/FAO to resolve the problem.

Data coding was much more involved and time consuming than originally anticipated due to the fact that multiple forms of the same instrument had to be standardized. This problem alone resulted in the transcription of over 1,000 student record abstracts and over 100 institutional interviews from the old to the new version of the instrument. As with any transcription process, some degree of clerical/coding error was introduced, thus prolonging the error correction of computer processed data. Data error due to this process was minimal because the instruments were subjected to a manual edit and a computer edit, but nevertheless, the process significantly delayed creation of the final institutional data base.

5.9 Computer Data Base Editing

Once the manual edits discussed in the previous section were completed, the institutional interviews and student record abstract forms were keypunched into a computer data file by Westat, Inc. Macro project staff then conducted a series of computer edits designed to eliminate any remaining data errors. These edits were performed using IBM system utilities, simple COBOL and FORTRAN programs, and Statistical Package for the Social Sciences (SPSS) programs.

The edits served to identify and resolve cases in which:

- Skip patterns had not been properly followed,
- Invalid, illogical, or incorrect codes had been entered,
- Data that should have been input was missing,
- Responses to related variables were not consistent with each other, and
- Special codes for multiple responses or overflow fields had been entered.

In many of these cases, it was necessary to consult the actual interview instrument to resolve discrepancies or omissions.

5.10 Enhancement of Raw Data

In addition to these extensive edits designed to minimize omissions and eliminate errors, Macro project staff performed two additional tasks in an effort to enhance the efficiency of presentation and analytical value of the data. First, several of the variables were transformed and/or recorded (without altering or losing any of the original data) to make them more meaningful and useful. Second, a substantial amount of "open-ended" data (responses to instructed interview questions and/or elaboration on specific coded responses) were transformed into several additional analytical variables. The process of creating analysis variables from open-ended data consisted of six sequential steps:

- Identifying records with open-ended responses through computer edits,
- Transcribing open-ended responses from original interview instruments onto consolidated data sheets,

- Grouping responses into meaningful major categories (where possible),
- Reviewing category definitions and contents by senior Macro staff,
- Adding new or enhanced variables (based on categorized open-ended data) to the computer data base, and
- Reviewing new variables to eliminate transcription of keypunch errors.

As agreed to by Macro and OE project staff, open-ended data were coded for 49 of 67 Part I questions, with 38 of these questions being translated onto enhanced or new analysis variables. One of two such student/parent interview questions was also coded (by both Westat and Macro project staff).

5.11 Quality Control Procedures

Extensive quality control measures were utilized throughout the data collection phase of the project. This section of the chapter provides a summary of the quality control actions taken to minimize error. Five major quality control measures were utilized:

- Interviewer Training--All field staff were given thorough instruction in the programmatic, procedural, and data requirements of the data collection effort.
- Multiple Briefings--Several times during the early phases of the project, field staff were assembled and data collection problems/issues were aired and discussed. This allowed immediate operational feedback for the field staff and project team.
- Continued Review Of Work--Data collection instruments were spot checked by senior project staff. The purpose of this review was to verify that each interviewer

was collecting the proper data set and completing the forms according to established procedures.

- Continuous Telephone Coverage--Field staff members were encouraged to call in with problems or issues. A senior staff member was "on duty" to receive calls and render assistance or provide instructions. All calls were recorded in a telephone log.
- Quality Control Visits--These visits, described in a previous section, were one of the most productive means of verifying the integrity of the interviewers' data collection efforts. Additionally, interviewers were provided immediate onsite technical assistance if necessary.
- Comparison Of Ten Percent Of The Final Computer Files Against The Original Part I Forms--One hundred percent of all data elements were compared to check for errors in processing and key entry of the information. Error rates of .6 percent for data entry and .6 percent for transcription were estimated and judged to be acceptable. All detected errors were corrected.
- Telephone Callback Of A Sample Of FAO's For A Sample of Questions To Examine Response Stability--Questions were selected for which a maximum amount of response variability was likely to occur in order to evaluate respondent variability. In the worst cases, agreement rates between the original interview response and the callback response differed in 30 percent of the cases, with no systematic shift detectable. Therefore, although such variability clearly contributes to the error of estimate, the amount of bias introduced seems negligible.

5.12 Response Stability Analysis

5.12.1 Methodology

A telephone followup interview was conducted with a 20 percent sample (N=40) of RDS schools: 28 schools which were missing data for Q176 and/or Q195 (these questions were not included in early interview forms); and 12 additional schools selected at random. In addition to Q176 and Q195, five other questions were selected based on their diversity, potential variability, and answerability by the respondent without the need to reference outside sources (QI19, QI19A-QI19H, QI51, QI52, QI107, and QI113). Exhibit 5-2 includes a sample followup questionnaire.

A total of 36 responses were obtained (one FAO was uncooperative and three others were unavailable), 35 of which were from the same individual who provided the original Part I responses.

5.12.1 Results

Exhibit 5-3 presents statistics comparing the original (Part I) and callback responses for 12 variables. The first statistic shown is the identical nondiscrepancy rate, which is defined as the proportion of exact correspondence between the original and callback responses for each variable (excluding cases for which the original response was missing). The values for this statistic imply a high amount of variability in the Part I data, particularly for the variables QI52, QI107, QI19F, and QI95. However, the presence of multiple responses for the variables QI52 and QI107, along with the presence of "both" responses for the variables QI19B, QI19D, and QI19F, suggests that actual variability may be significantly lower.

In an attempt to account for these factors, a second statistic was computed for Exhibit 5-3. The logical nondiscrepancy rate is defined as the proportion of logical correspondence between the original and callback responses. For this statistic, two-by-two matrices were produced for each code (see below) in each variable, with the row variables defined as the number reporting or not reporting

Exhibit 5-2

SAMPLE
FOLLOWUP INSTITUTIONAL QUESTIONNAIRE

Interviewer: ____________________

Date of Interview: ________________

OE Code: / / / / / / /

Institution: ____

Financial Aid Officer/Contact: ___________________________

Financial Aid Administration

19. Please indicate whether the following record systems are used at your school. Are they automated, manual, or both:

	Used	Manual	Automated	Both	Don't Know	No Answer
Student financial aid files	1-( )	1-( )	2-( )	3-( )	8-( )	9-( )
Student academic records	1-( )	1-( )	2-( )	3-( )	8-( )	9-( )
Payment/credit records	1-( )	1-( )	2-( )	3-( )	8-( )	9-( )
Other (Specify) __________						
____________________						
____________________						

SER

51. Does your institution routinely verify the BEOG award calculation?

1-( ) Yes
2-( ) No
8-( ) Don't know
9-( ) No answer

52. How does your institution verify award calculations? (Check all that apply.)

1-( ) By same person, rechecking work
2-( ) By professional staff member
3-( ) By clerical staff member
4-( ) By computer
5-( ) Other (Specify) ______________________________________
____
8-( ) Don't know
9-( ) No answer

Exhibit 5-2

SAMPLE
FOLLOWUP INSTITUTIONAL QUESTIONNAIRE (Cont'd.)

Validation Policies

76. Do you have any recommendations regarding OE's policy on validation?

1-( ) Yes--What are your recommendations? ______
2-( ) No
8-( ) Don't know
9-( ) No answer

Fiscal Operations

95. Have you received an adjusted authorization this year or last year?

1-( ) Yes--last year
2-( ) Yes--this year
3-( ) No
8-( ) Don't know
9-( ) No answer

Disbursal

107. In what form are disbursements made? (Check all that apply.)

1-( ) Check to student for the full amount (each payment period)
2-( ) Check to student which must be endorsed over to school
3-( ) Credited to student account
4-( ) Credited to student account, balance disbursed to student by check
Other (Specify) ______
8-( ) Don't know
9-( ) No answer

Refund and Repayment

113. Do you have any problems using the OE formula to determine how to credit the BEOG account when a student drops out and a refund is due?

1-( ) Yes--What problem(s)? ______
2-( ) No
8-( ) Don't know
9-( ) No answer

Exhibit 5-3

VARIABILITY STATISTICS

Part I Variable (Name and Label)	Identical Nondiscrepancy Rate	Logical Nondiscrepancy Rate
QI19A: Student Financial Aid Files--Used	100%	100%
QI19B: Student Financial Aid Files--Type	72	83
QI19C: Student Academic Records--Used	100	100
QI19D: Student Academic Records--Type	72	82
QI19E: Payment-Credit Records--Used	100	100
QI19F: Payment-Credit Records--Type	53	69
QI51: Routinely Verify Award Calculation	75	75
QI52: How Are Award Calculations Verified	20	67
QI76: Recommendation on OE Validation Policy	71	74
QI95: Received Adjusted Authorization	64	73
QI107: Form of BEOG Disbursements	44	78
QI113: Problems Using OE Refund Formula	75	81

that code (either singly or in combination with other codes) in the original response, and with the column variables similarly defined for the callback response.

The number of cases in which each code was mentioned in both responses (original and callback) was added to the number of cases in which each code was not mentioned in either response, and this sum was divided by the total number of observations to get code-specific logical nondiscrepancy rates. These rates were then averaged to get logical nondiscrepancy rates for each of the 12 variables. Logical nondiscrepancy rates were not computed for "don't know" or "no answer" codes, nor for "both" codes in QI19B, QI19D, or QI19F.

As Exhibit 5-3 shows, the logical nondiscrepancy rates were considerably higher in several cases than the identical nondiscrepancy rates, and they suggest a much lower level of variability in the Part I data. Nevertheless, there still appears to be a significant amount of variability in answers to these questions, with 9 of the 12 variables showing logical discrepancies in at least 17 percent of observations. The following paragraphs provide likely reasons for this variability.

5.12.3 Reasons for Variability

Under ideal experimental conditions, the only reason for response variability would be that the respondent had incomplete, inaccurate, and/or insufficient knowledge to correctly answer the same question both times. However, several factors undoubtedly contributed to what appears to be a high level of response variability in the institutional interview data:

- The followup questions were specifically selected as being conducive to response variability,
- Some answers might have legitimately changed in the three- to six-month interval between the original and followup interviews, and
- The respondent might not have completely understood the followup questions. This may have happened because the questions were asked over the telephone rather than in person, and because the questions were removed from the context of the complete original interview.

It is therefore safe to assume that the results shown in Exhibit 5-4 probably overstate (perhaps significantly) the level of response variability in the institutional interview data. However, it appears that some variability does, in fact, exist in the following subsection.

5.12.4 Implications of Variability

The primary implication of response variability in the institutional interview data is that the accuracy of statistics produced from these data and the confidence with which these statistics can be interpreted are both lowered by an unknown amount. Thus, the data, even when properly weighted, may not give an accurate description of certain characteristics of the BEOG institutional universe. In addition, the value of these institutional characteristics as explanatory and/or predictive variables in the payment error analyses to be performed for the final report also may be reduced.

There are several mitigating factors, however, which suggest that the apparently high level of response variability may not significantly detract from the Quality Control Study results. To begin with, only one percent of the total data elements were followed up, so that the overall level of variability may be different from that presented here. Second, as noted above, a number of factors may have served to inflate the estimates of variability, so that the true level may be much lower. Third, many of the differences between the original and followup responses were of minimal analytical importance. Finally, the analyses based on the institutional interview have been and will be qualitative rather than quantitative in nature, reducing the potential impact of response variability.

5.12.5 Conclusion

As expected in a survey of this kind, it appears that there is a potentially significant level of response variability in the institutional interview data which, in extreme cases, could adversely affect the results and value of the Quality Control Study. However, a number of factors, as discussed in the preceding paragraphs, suggests that the level and impact of response variability may be much less than indicated here. In summary, while Macro recognizes the existence of a potential problem in this area, we feel the low likelihood of a significantly negative effect upon the study's results precludes any additional efforts in this direction.

VOLUME II

BASIC EDUCATIONAL OPPORTUNITY GRANT QUALITY CONTROL STUDY: METHODOLOGICAL REPORT

Appendices

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Bureau of Student Financial Assistance

October 31, 1979

MAR 0 4 1980

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APPENDIX A

FILE FORMAT FOR INSTITUTION MASTER FILE

PROGRAM DOCUMENTATION AND
OPERATING PROCEDURES MANUAL

SYSTEM TITLE: BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM

SYSTEM ID: ECP

Date Documented: 12/5/75

☐ New ☐ Revision

Change Notice #:

HEADER:
TRAILER:
COLLATING SEQ:

RECORD LAYOUT

RECORD TITLE: Institution Universe Record
FILE ID: [illegible]
INPUT ☐ OUTPUT ☐
RECORD LENGTH: 500 MINIMUM ☐ FIXED ☒ ____ MAX.
BLOCKING FACTOR: 8

MEDIUM:
CARD ☐ TAPE ☐
OTHER: DISK ☒
DENSITY:

SEQUENCE OF RECORDS IN THE FILE

	CONTROL FIELD TITLE	POSITIONS
HDR		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
TRL		

C7

10 20 30 40 50 60 70 80 90

[illegible] | Alpha Sequence Code: State Code, Sequence Number | OE Vendor Code | Ap Cogut | NIH Vendor Code | INSTITUTION NAME (current length) | STREET

ADDRESS | CITY NAME | State Abbreviation | ZIP CODE | Congressional District | PRESIDENT'S NAME | PRESIDENT'S TITLE

SMSA Code | Institutional Characteristics: Institution Type, [illegible] | Institutional Enrollments: Full-Time Undergrads (Year, Enrollment), Part-Time Undergrads (Year, Enrollment), First-Time Degree (Year, Enrollment) | Institution Eligibility - Participation: [illegible], Central OE Vendor Code, [illegible], Agreement Signed (MO, DA, YR), Agreement Entered (MO, DA, YR), Agreement Terminate (MO, DA, YR), Cycle of Initial Allocation | Institution Allocation: Initial Allocation, Date Of Init. Alloc (MO, DA, YR), Current OE Approved Authorization, Date Of Current (MO, DA)

AND AUTHORIZATION INFORMATION: Auth. YR, Previous Authorization, Date Of Previous Auth. (MO, DA, YR), Institution Requested Authorization, NIH Transact. Number (FY, Trans-Number), Number Of Adjustments, [illegible], Current Authorization, PAY [illegible] | Average Institutional Charges: Previous Year (Year, Tuition And Fees, Room, Board), Current Year (Year, Tuition And Fees, Room, Board), Next Year Estimates (Year, Tuition And Fees, Room, Board) | Progress: Respond Indicator, [illegible], Late [illegible]

OE FORM [illegible]

Fold back at dotted line.

DATA PROCESSING
ROGRAM DOCUMENTATION AND
OPERATING PROCEDURES MANUAL

Attachment A-2

SYSTEM TITLE: RUCS PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM

SYSTEM ID: BCP

Subsection(s): ______

Date Documented: 12/3/75

☐ New ☐ Revision

Change Notice #: ______

HEADER: ______

TRAILER: ______

COLLATING SEQ: ______

RECORD LAYOUT

RECORD TITLE: Institution Universe Record

FILE ID: [illegible]

INPUT ☐ OUTPUT ☐

RECORD LENGTH: 503 MINIMUM ☐ FIXED ☒ ______ MAX.

MEDIUM:

CARD ☐ TAPE ☐

OTHER DISK ☒

DENSITY ______

BLOCKING FACTOR 8

SEQUENCE OF RECORDS IN THE FILE		
	CONTROL FIELD TITLE	POSITIONS
HA1		
2		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
LIM		

Report Information							Latest Progress Report Statistics					Automated Disbursement System Statistics										
Progress Report Information							Net Expenditures		Number Of Recoveries	Estimated Additional Recipients	Number Of FCAR's Submitted	A D Indic.	ADS Disbursement Amount	ADS Recipients	Fund Year	NUMBER OF SER'S	SER DISTRIBUTION	Primary Vendor Code	Status Indic.	Last Activity Date		
Submit		Batch ID				S	$ Amount	Number Of Recipients														
DA	YR	YR	MO	DA	NO.															MO	DA	YR

DE FORM 5234-2, 8/73

Fold back at dotted line.

A-3

Attachment A-2

SYSTEM TITLE: BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM	SYSTEM ID BGP	DATE Nov. 26, 19 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Univers

Created in: Institution Universe Subsystem Record size:500 No. of records:

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
ISAM Delete Byte	1	1	1	N	R	First character of an ISAM file used to records for deletion from file.
HEW Federal region	2	3	2	N	R	HEW region number assigned by OE to stat where the institution resides. Range: 0
Numeric State Code	4	5	2	N	R	Numeric code for state where institution resides; FIPS standard assignment**. Range: 01-79
Alpha Sequence Number	6	10	5	N	R	Number assigned according to institution alphabetic order within it's state. Periodically reassigned by system in increments of 10. Range: 00001-99999
OE Vendor Code	11	16	6	N	R	Unique institution identification code** within OE as assigned by OE Finance.
Filler space	17	22	6	-	-	Blank space.
NIH-Vendor Code	23	28	6	A/N	L	Institution identification code as assig within National Institute of Health - Federal Assistance Financing System****.
Institution Name	29	63	35	A/N	L	Name of Institution.
Expansion of Ins. Name	64	83	20	A/N	L	Blank field for future use.
Institution Street Address	84	113	30	A/N	L	Street address of Institution (mailing address if different from actual locatio
Institution City	114	136	23	A/N	L	Name of city where institution resides.
Alpha State Abbreviation	137	138	2	A	L	2 character alpha code assigned accordin to FIPS standards** to state where institution resides.
Zip Code	139	143	5	N	R	Zip code of institution city (blanks acc
Congressional District	144	146	3	N	R	U.S. Congressional district where institution resides(blanks accepted).
Institution President's Name	147	176	30	A/N	L	Name of institution's highest ranking official.
itution	177	201	25	A/N	L	Title of institution's highest ranking official.
SMSA Code	202	204	3	N	R	3-digit code identifying a standard metr

[illegible]

Attachment A-2

SYSTEM TITLE BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM	SYSTEM ID BGP -	DATE Nov. 26, 1975 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

red in: Institution Universe Subsystem Record size: 500 No. of records: 58

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
MSA Code (cont.)						Bureau to area's with population of 55,000 or more*****. Range: 001-999, blanks are
nstitution Type	205	208	4	N	R	The type of institution as designated by o of the following codes: 1 or 0001 = University 2 or 0002 = Other 4 year 3 or 0003 = 2-3 year schools 4 or 0004 = At least 1 but less than 2 5 or 0005 = At least 6 mth, less than 1 Blank = No response
ype of Control	209	209	1	N	R	The source of control at the institution a designated by one of the following codes: 1 = Public 2 = Private, non-profit 3 = Private, profit-making Blank = No response
pecial School	210	210	1	N	R	The type of special school which describes institution as designated by one of the following codes: 1 = Vocational/Technical 2 = Nursing School 3 = Other Hospital School only Blank = No response or N/A
ccreditation Status	211	211	1	N	R	The type of accreditation held by the institution as designated by one of the following codes: 1 = Fully accredited 2 = Candidate 3 = Correspondent 4 = "3 letters" Blank = No response
ce Code	212	212	1	N	R	Code describing the majority of students at the institution as designated by one of the

Attachment A-

SYSTEM TITLE BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM

SYSTEM ID BGP

DATE Jan. 5

REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

Created in: Institution Universe Subsystem Record size: 500 No. of records: 5

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
Stop Action Code	214	214	1	N	R	Stop Action code for those institutions
						are not allowed to receive any further
						increases in authorization amount. Rang
						1 = No Increase or Decrease Allowed
						2 = Only Increases Allowed
						3 = Only Decreases Allowed
						ƀ = Increases and Decreases Allowed

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DATA PROCESSING DOCUMENTATION	Attachment A-2	PAGE 3 of 11
SYSTEM TITLE BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM	SYSTEM ID BGP	DATE Nov. 26, 197 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

Created in: Institution Universe Subsystem Record size:500 No. of records: 5

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
Race Code (cont.)						1 = Predominatly Caucasian 2 = Predominatly Minority Blank = No response
Sex Code	213	213	1	N	R	Code describing the majority of the stud at the institution: 1 = All male 2 = All female 3 = Co-educational Blank = No response
Pos. 214 is on page 3a of 11.						
Filler space	215	217	3	-	-	Blank space.
Fiscal Year or Full-Time Undergraduate Enrollment	218	218	1	N	R	Fiscal year applicable to full-time enrol date. Range: 0-9, Blank = No response
ull-Time Undergraduate Enrollment	219	224	6	N	R	Full-time enrollment at the institution the fiscal year designated. Range: 00000 999999, Blank = No response
Fiscal Year of Part-Time Undergraduate Enrollment	225	225	1	N	R	Fiscal year applicable to part-time enrol date. Range: 0-9, Blank = No response
Part-Time Undergraduate Enrollment	226	231	6	N	R	Part-time enrollment at the institution the fiscal year designated. Range: 00000 999999, Blank = No response
FY of First-Time Degree Enrollment	232	232	1	N	R	Fiscal year applicable to first-time deg enrollment data. Range: 0-9, Blank = No
First-Time Degree Enrollment	233	238	6	N	R	First-time degree enrollment at the insti during the fiscal year designated. Range 000000-999999, Blank = No response
BEOG Eligibility ndicator	239	239	1	N	R	Code for eligibility of the institution participate in the BEOG program as desig by one of the following: 0 = Ineligible for BEOG 1 = Eligible for BEOG

SYSTEM TITLE BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM	SYSTEM ID BGP -	DATE Nov. 26, 1975 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe-

[illegible] in: Institution Universe Subsystem Record size: 500 No. of records: 58

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/X	R/L	DESCRIPTION
EOG Participation ndicator	240	240	1	N	R	Code for the participation status of the institution in the BEOG program as follows 1 = Participating independent campus 2 = Central Office for participating Branch campus system 3 = Branch campus participating through a central office 4 = Institution responding as not wishi to participate Blank = No response
entral OE Vendor Code	241	246	6	N	R	OE vendor code* of the institution through which funds will be drawn from NIH for payr to BEOG recipients. Values are: (a) IF Independent Campus - same as OE vendor code for institution. (b) IF Central Office for Branch Campus same as OE vendor code of the institution. (c) IF Branch Campus (receiving funds f central office) - use OE vendor code of it's central office. (d) IF Blank - Institution is not cover by an agreement.
umber of Branch ampuses	247	248	2	N	R	Number of branch campuses assigned to a central office. Range: 01-99
iller Space	249	253	5	-	-	Blank space.
ate Agreement Signed	254	259	6	N	R	Date the institution letter of agreement wa signed. Format - MMDDYY, Blanks are accepte
ate Agreement ntered	260	265	6	N	R	Date the institution letter of agreement wa processed by the system. Format-MMDDYY, Blanks are accepted
ite Agreement Termin [illegible]	266	271	6	N	R	Date of institution's agreement to partici in the BEOG program was terminated.

SYSTEM TITLE BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM

SYSTEM ID BGP-

DATE Nov. 26, 19

REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe-

ed in: Institution Universe Subsystem

Record size:500 No. of records: 58

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
Cycle of Initial Authorization	272	274	3	N	R	Accounting cycle in which first authoriza to institution to draw funds through NIH BEOG award payments was processed. Range: 999, Blank if institution has not receive authorization.
Initial Allocation Amount	275	282	8	N	R	Represents initial allocation made to the institution. For Central Office of a Bra Campus system, this field should represent amount allocated for BEOG payments at all institutions within that system. Blanks a
Date of Initial Allocation	283	288	6	N	R	Date the initial allocation to the institu was approved. Format-MMDDYY. (will be bla for institutions not receiving an allocati
Current OE Approved ization	289	296	8	N	R	Maximum amount of funds which the institut may draw through NIH for BEOG payments(wil be blank if institution has not received a authorization).
Date Current Authorization Approved	297	302	6	N	R	Date the current authorization was establi for the institution. Format-MMDDYY (will b blank if institution has not received an authorization).
Previous Authorization	303	310	8	N	R	The current authorization for the institut prior to the last authorization adjustment 0 = Institution received only 1 authoriz Blank = Institutions not receiving an authorization.
ate Previous Authorization Approved	311	316	6	N	R	Date of approval of prior authorization. Format - MMDDYY, Blank = Institution has re ceived less than 2 authorizations.
stitution Requested horization	317	324	8	N	R	Amount of BEOG funds requested by the insti ution via the Progress Report (will be Bla or 0 if no progress report received).
IH Transaction NO.	325	332	8	A/N	L	Number assigned for processing transaction

SYSTEM TITLE BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM	SYSTEM ID — BGP	DATE: Nov. 26, 197 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

Cr ed in: Institution Universe Subsystem Record size:500 No. of records:38

DATA NAME	POSITION		FLD			DESCRIPTION
	FROM	TO	SIZE	A/N	R/L	
Cycle of Initial Authorization	272	274	3	N	R	Accounting cycle in which first authoriza to institution to draw funds through NIH BEOG award payments was processed. Range: 999, Blank if institution has not receive authorization.
Initial Allocation Amount	275	282	8	N	R	Represents initial allocation made to the institution. For Central Office of a Bran Campus system, this field should represent amount allocated for BEOG payments at all institutions within that system. Blanks ar
Date of Initial Allocation	283	288	6	N	R	Date the initial allocation to the institu was approved. Format-MMDDYY. (will be blan for institutions not receiving an allocati
Current OE Approved thorization	289	296	8	N	R	Maximum amount of funds which the institut may draw through NIH for BEOG payments(wil be blank if institution has not received a authorization).
Date Current Author- zation Approved	297	302	6	N	R	Date the current authorization was establi for the institution. Format-MMDDYY (will b blank if institution has not received an authorization).
revious Authorization	303	310	8	N	R	The current authorization for the institut prior to the last authorization adjustment. 0 = Institution received only 1 authoriz Blank = Institutions not receiving an authorization.
ate Previous Author- zation Approved	311	316	6	N	R	Date of approval of prior authorization. Format - MMDDYY, Blank = Institution has re ceived less than 2 authorizations.
nstitution Requested horization	317	324	8	N	R	Amount of BEOG funds requested by the insti ution via the Progress Report (will be Blan or 0 if no progress report received).
II Transaction NO.	325	332	8	A/N	L	Number assigned for processing transactions for the institution through NIH-FAPS.

SYSTEM TITLE BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM	SYSTEM ID BGP	DATE Nov. 26, 197 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

Created in: Institution Universe Subsystem Record size: 500 No. of records: 58

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
NIH Transaction NO. (continued)						Format is as follows: Position 1-2 Fiscal Year Position 3 Supplement number(constant Position 4-8 NIH Transaction number as provided by OE Finance******
Number of Authorization Adjustments	333	334	2	N	R	Number of adjustments made to first autho ation to the institution. Zero = No adjus have been processed. Blank = Institution not received an authorization.
Current Authorization Source	335	335	1	A	L	Identifies the type of adjustment made to the institution's authorization. Range: I = Initial authorization to the insti M = Initial authorization or authoriz adjustment processed manuallu by B staff. R = Adjustment made through BEOG staff of institution's request on the Pr Report. P = Adjustment due to scheduled Progre Report data. A = Adjustment due to Ad Hoc Progress Report data. O = All other adjustments. Blank = Institution has not received a authorization.
Cycle of Current Authorization	336	338	3	N	R	Accounting cycle in which institution's c authorization was processed. Equal to cy of initial authorization if institution h received only one authorization. Assigned parameter input in Accounting subsystem. Blank if no authorization has been made.
How Student Paid	339	339	1	N	R	Method of payment of BEOG awards to reci at the institution as designated by one

DATA PROCESSING DOCUMENTATION Attachment A-2 PAGE 7 OF 11

SYSTEM TITLE BEOG PROGRAM INFORMATION AND ONITORING (DISBURSEMENT) SYSTEM	SYSTEM ID BGP	DATE Nov. 26, 197 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

reated in: Institution Universe Subsystem Record size: 500 No. of records: 58

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
						1 = Direct payments 2 = Credit to student account 3 = Both direct and credit Blank = No response
hen Student Paid	340	340	1	N	R	Frequency of payment of BEOG awards to rec at the institution as designated by one of the following codes: 1 = 2 payments 2 = Monthly 3 = By term (for multiple terms only) 4 = Other Blank = No response
nstitution Term Type	341	341	1	N	R	Code designating length of average academi term at the institution as follows: 1 = Single term 2 = Quarter 3 = Semester 4 = Trimester 5 = Other Blank = No response
ength of Academic ear	342	343	2	N	R	Number of months opon which the Average Ins utional charges at the institution are base Range: 01-24, Blanks accepted.
iscal Year of revious Year's harges	344	344	1	N	R	Fiscal year applicable to average institut charges given for previous year. Range: 0- where 3 = 73, 4 = 74, etc. Blank is accept if three related fields are blank.
revious Year's Avg. uition and Fees	345	349	5	A/N	R/L	In-state tuition and fees applicable at t institution during the fiscal year design Left-justified = field not applicable Blank or 00000 - 99999 are accepted.
revious Year's Avg. n-Campus Room	350	354	5	A/N	R/L	On-campus room charges applicable at the institution during the fiscal year design

SYSTEM TITLE: BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM

SYSTEM ID BGP -

DATE Nov. 26, 197

REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

reated in: Institution Universe Subsytem Record size: 500 No. of records: 55

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
PY Avg On-Camp. Rm.						Blank or 00000 -99999 are accepted.
Previous Year's Avg.	355	359	5	A/N	R/L	On-campus board charges applicable at the
On-Campus Board						institution during the fiscal year designa
						Left-justified = field not applicable
						Blank or 00000 - 99999 are acceptable
Fiscal Year of Curren	360	360	1	N	R	Fiscal year applicable to average institut
Year's Charges						charges given for current year. Range: 0 -
						where 3 = 73, 4 = 74, etc. Blank is accept
						if three related are blank.
Current Year's Avg.	361	365	5	N	R	In-state tuition and fees applicable at th
uition and Fees						institution during the fiscal year designa
						Range: 00000-99999, Blanks are accepted
Current Year's Avg.	366	370	5	A/N	R/L	On-campus room charges applicable at the
-Campus Room						institution during the fiscal year design
						Left-justified = field not applicable
						Blank or 00000-99999 are accepted
Current Year's Avg.	371	375	5	A/N	R/L	On-campus board charges applicable at the
On-Campus Board						institution during the fiscal year design
						Left-justified = field not applicable
						Blank or 00000-99999 are accepted
iscal Year of Next	376	376	1	N	R	Fiscal year applicable to average institu
ear's Charges						charges estimated for next year. Range: 0-
						where 3 = 73, 4 = 74, etc. Blank is accep
						if three related fields are blank.
Next Year's Average.	377	381	5	A/N	R/L	In-state tuition and fees applicable at t
tuition and Fees Est.						institution during the fiscal year design
						Left-justified = field not applicable
						Blank or 00000-99999 are accepted.
Next Year's Avg. On-	382	386	5	A/N	R/L	On-campus room charges applicable at the
Campus Room Estimate						institution during the fiscal year design
						Left-justified = field not applicable
						Blank or 00000-99999 are accepted.
ext Year's Avg. On-	387	391	5	A/N	R/L	On-campus board charges applicable at the

DATA PROCESSING DOCUMENTATION Attachment A-2

DATE Nov. 26, 197

YSTEM TITLE BEOG PROGRAM INFORMATION AND ONITORING (DISBURSEMENT) SYSTEM

SYSTEM ID BGP

REVISION NO. - -

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

Created in: Institution Universe Subsystem Record size:500 No. of records:58

DATA NAME	POSITION FROM	TO	FLD SIZE	A/N	R/L	DESCRIPTION
Y Avg. OC Brd. Est.						Left-justified = field not applicable Blank or 00000-99999 are accepted.
ctober 31 Prog. Rep. Receipt Indicator	392	392	1	N	R	Code designating receipt status of Octobe scheduled Progress Report. Range: 1 = Pro Report returned and cleared edit, Blank = Progress Report not received.
ebruary 28 Prog Rep Receipt Indicator	393	393	1	N	R	Code designating receipt status or Februa scheduled Progress Report. Range: 1 = Pro Report received and cleared edit, Blank = Progress Report not received.
une 30 Prog Rep Receipt Indicator	394	394	1	N	R	Code designating receipt status of June 3 scheduled Progress Report. Range: 1 = Pro Report received and cleared edit, Blank = Progress Report not received.
d Hoc Prog Rep Receipt Indicator	395	395	1	N	R	Code designating receipt status of Ad Ho (non-scheduled) Progress Reports from ins ution. Range: 1 = At least 1 Ad Hoc Prog Report returned and cleared edit, Blank No Ad Hoc Progress Reports received.
umber of Ad Hoc Progress Reports	396	397	2	N	R	Number of Ad Hoc Progress Reports receiv from the institution which have cleared Blank or zero shows that no Ad Hoc report have been processed by the system.
atest Progress Repor Type	398	398	1	A	L	Code designating type of most redent Prog Report received from the institution as O = October 31 F = February 28 J = June 30 A = Ad Hoc Blank = No Progress Reports Processed
at Progress Report Submitted	399	404	6	N	R	Date Progress Report was submitted by i tution (MMDDYY). Blank = No Progress Re

DATA PROCESSING DOCUMENTATION

Attachment A-2

SYSTEM TITLE. BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM	SYSTEM ID BGP	DATE Nov. 26, 197 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

Created in: Institution Universe Subsystem Record size: 500 No. of records: 58

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
Batch Date	405	410	6	N	R	Date Progress Report was entered in Progr Report Subsystem. (YYMMDD) Will be blank Progress Report has been received.
Batch Unit	411	412	2	N	R	Uniquely identifies one batch of Progress Reports within those processed on a given date. Blank = No Progress Report received
Filler Space	413	413	1	-	-	Blank space.
Net Expenditures	414	421	8	N	R	Amount of net expenditures (BEOG payments the institution to date. Blanks accepted.
Net Recipients	422	427	6	N	R	Number of BEOG award recipients covered b expenditures. Blanks are accepted.
Number of Recoveries	428	433	6	N	R	Number of BEOG award recoveries at the in ution. Blanks are accepted.
Es[illegible]ated Additional Recipients	434	439	6	N	R	Number of additional BEOG recipients exp to enroll at institution during remainde academic year, as estimated by instituti Blanks are accepted.
Number of FCARs Submitted to Date	440	445	6	N	R	Number of Family Contribution Analysis R submitted by institution with Progress R to substantiate expenditures. Blanks acc
Alternate Disbursement Indicator	446	446	1	N	R	Code designating status of recipients at institution regarding payments through th Alternate Disbursement System as follows; 1 = Recipients at institution have rece funds only through ADS. 2 = Recipients at institution have rece funds though ADS and the institutio Blanks = No recipients at the instituti have received funds through ADS.
DS Disbursement mt	447	454	8	N	R	Total amount of disbursements made thro ADS to BEOG award recipients at the inst
ADS Recipients	455	460	6	N	R	Number of recipients at the institution have received payments through ADS.

SYSTEM TITLE BEOG PROGRAM INFORMATION AND MONITORING (DISBURSEMENT) SYSTEM	Attachment A-2 SYSTEM ID BGP -	DATE Jan. 5, 1 REVISION NO.

MASTER FILE DESCRIPTION SHEET FILE ID: BGP0601 Institution Universe

Created in: Institution Universe Subsystem Record size: 500 No. of records:

DATA NAME	POSITION FROM	POSITION TO	FLD SIZE	A/N	R/L	DESCRIPTION
Number Of SER's	462	469	8	N	R	The number of SERs processed through the initial edit phase for this vendor (exclu fiscal 74).
SER Distribution	470	478	9	N	R	The dollar disbursement sum of SERs proc through the initial edit phase for this vendor (excluding fiscal 74).
Primary Vendor Code	479	493	15	-	-	Blank field reserved for future use.
Institutional Record Status Indicator	494	494	1	N	R	Current status code for institution on t Institution Universe file. Range: 1 = Active Institution 2 = Inactive Institution
Last Activity Date	495	500	6	N	R	Date of last activity on the institution record. (MMDDYY)

APPENDIX B

PROCEDURES FOR SELECTING STUDENT SAMPLE FROM INSTITUTIONAL RECORDS

Procedures for Selecting Student Sample from Institutional Records

November 13, 1978

CONTENTS

Sampling Data Sheet

Section

1. Initial decisions
2. Sampling from a list
3. Sampling from a long list
4. Sampling from a short list
5. Sampling from a stack of SERs
6. Sampling from a file cabinet

Table 1: Random starts for Sections 3, 5 and 6

Table 2: Random starts for Section 4

Worksheet 1: Preliminary Sample

Worksheet 2: Ordered Sampling List

Address Records for Selected Students and Their Parents

SAMPLING DATA SHEET

Institution

Name: ______________________________

Location: ______________________________

____

____

Designated Contact: ______________________

Telephone Number: ______________________

Number of students to be selected: __________

Interviewer

Name: ______________________________

Date of Interview: ______________________

Section 1: Initial Decision

1.1 Can institution provide you with a complete list of BEOG recipients?

a. Yes (Go to Section 2: Sampling from a list)

b. No (continue)

1.2 Can institution provide you with a stack of SERs?

a. Yes (Go to Section 5: Sampling from a stack of SERs)

b. No (continue)

1.3 Can institution provide access to the filing cabinets containing the files for all the BEOG recipients?

a. Yes (Go to Section 6: Sampling from file cabinets)

b. No (Immediately notify your supervisor at Macro. Request further instructions.)

Section 2: Sampling from a list

2.1 Does the list contain the students' names?

- a. Yes (continue)
- b. No (Return to 1.1, change answer to "No" and continue to 1.2)

2.2 Does the list contain the students eligibility index?

- a. Yes (continue)
- b. No (Return to 1.1, change answer to "No", and continue to 1.2)

2.3 Does the list contain more than 200 students?

- a. Yes (Go to Section 3: Procedures for sampling from a long list)
- b. No (Go to Section 4: Procedures for sampling from a short list)

Section 3: Procedures for sampling from a long list

3.1 Determine the number of students to be selected (sample size) from the data sheet and enter here:______________________________

3.2 Multiply the number in 3.1 above by ten (10) and enter here:______________________________

3.3 Determine the number of students on the institution's list and enter here:______________________

3.4 Divide the number in 3.3 above by the number in 3.2 above. Round the quotient to the nearest whole number and enter here:____________________. This number is the preliminary sampling interval.

3.5 Turn to Table 1 and determine the starting number or the number of the first student to be selected. Enter this number here:____________________

3.6 Start at the beginning of the list and count down the list to the number of the first student to be selected. This is the number in 3.5 above. Record the name and eligibility index of the first student selected on Worksheet 1.

3.7 Determine the next student to be selected by counting down the list by the number indicated by the preliminary sampling interval. Start with the last student selected. Count down by the number recorded in 3.4. Record the name and eligibility index of the selected student on Worksheet 1.

3.8 Continue the process described in 3.7 above until the list has been exhausted.

3.9 Use the list on Worksheet 1 as a short list. Go to Section 4: Procedures for sampling from a short list.

Section 4: Procedures for sampling from a short list

4.1 Record the students in order by eligibility index on Worksheet 2. (Note: Students with identical eligibility indicies may be placed in any order.)

4.2 Determine the number of students listed on Worksheet 2 and enter here: ______________________________

4.3 Determine the number of students to be selected from the data sheet and enter here: ____________________

4.4 Divide the number on the list (4.2) by the number to be selected (4.3). Round the quotient to the nearest whole number and enter here: ____________________
This number is the sampling interval.

4.5 Turn to Table 2 and determine the starting number or the number of the first student to be selected. Enter this number here: ______________________

4.6 Compute the list number of the student to be selected using the following formulas where,

L = list number of student to be selected on Worksheet 2

S = starting number (4.5)

SI = sampling interval (4.4)

LI = S = ______________________
L2 = S + SI = ______________________
L3 = S + 2(SI) = ______________________
L4 = S + 3(SI) = ______________________
L5 = S + 4(SI) = ______________________
L6 = S + 5(SI) = ______________________
L7 = S + 6(SI) = ______________________
L8 = S + 7(SI) = ______________________
L9 = S + 8(SI) = ______________________
L10 = S + 9(SI) = ______________________
L11 = S + 10(SI) = ______________________
L12 = S + 11(SI) = ______________________
L13 = S + 12(SI) = ______________________

L14 = S + 13(SI) = ____________________

L15 = S + 14(SI) = ____________________

L16 = S + 15(SI) = ____________________

L17 = S + 16(SI) = ____________________

L18 = S + 17(SI) = ____________________

L19 = S + 18(SI) = ____________________

L20 = S + 19(SI) = ____________________

L21 = S + 20(SI) = ____________________

L22 = S + 21(SI) = ____________________

L23 = S + 22(SI) = ____________________

L24 = S + 23(SI) = ____________________

L25 = S + 24(SI) = ____________________

4.7 Turn to Worksheet 2. Identify the students with the list numbers computed in 4.6. These are the students who are in the sample. When conducting the student abstracts, record the student's and the student's parents address information on the address records.

4.8 Recording the addresses completes sample selection. Return this entire booklet to your Macro supervisor.

Section 5: Sampling from a stack of SERs

For sampling purposes a stack of SERs can and will be treated exactly like a list. Instead of counting down names on a list, you simply count through SERs in the stack.

When you receive the stack of SERs, be careful to preserve the order. Even if they are in random order, do not change the order. When you are finished be sure to inform the SFAO that you have not changed anything.

If the stack has less than 200 SERs, go to Section 4: Procedures for sampling from a short list.

Section 6: Sampling from file cabinets

6.1 Have the SFAO show you the filing cabinets that contain the records.

6.2 Does every file in every drawer contain records from a BEOG recipient?

a. Yes (Go to 6.3)

b. No (Go to 6.4)

6.3 Treat the files as though they were a stack of SERs or names on a list. Follow the procedures specified in Section 3 even if there are fewer than 200 files. Go to Section 3 and continue.

6.4 Obtain an estimate of the percent of the records (files) that contain BEOG recipients. Enter the percent here as a decimal: ________________________

6.5 Obtain an estimate of the total number of records (files) in all the drawers. Enter this estimate here: ____

6.6 Are there more than five filing cabinet drawers of files?

a. Yes (continue with 6.7)

b. No (Go to 6.25)

6.7 Count the number of drawers and enter here: _____

6.8 Estimate the number of BEOG recipients on file each drawer by using the following formula:

$$\frac{(\text{Percent BEOG})\ (\text{Number of records})}{(\text{Number of Drawers})}$$

This is the same as:

$$\frac{(\text{Number in 6.4})\ (\text{Number is 6.5})}{(\text{Number in 6.7})}$$

Use the above formula to estimate the number of BEOG records per drawer and enter here: _______________

6.9 Divide the number entered in 6.8 above by 100. Round the quotient up to the next whole number. Enter this number here: ____________________ This is the number of drawers you will actually be going into to select the sample.

6.10 Divide the total number of drawers (the number is 6.7) by the number you will examine. Or divide the number in 6.8 by the number in 6.7. Enter the quotient here: ____________________ This number is your drawer sampling interval.

6.11 Go to Table 1 and determine the number of the drawer you will start with. Enter this number here: ____

6.12 Go to the filing cabinets and close all the drawers. Start with the top drawer on the first cabinet. Count top to bottom and move right to left counting drawers until you reach the drawer you will start with. Open this drawer all the way.

6.13 Beginning with the last selected drawer, count out the number of drawers indicated in 6.10. Open this drawer. Continue this process until the drawers are exhausted.

6.14 Step back. Count the number of open drawers. The number of open drawers should be equal to the number entered in 6.9. If it is, continue. If not, go back to 6.7 and start over.

6.15 You will only be looking in the open drawers. Ignore the contents of all other drawers.

6.16 Estimate the average number of BEOG records in all the open drawers by multiplying the average number of BEOG records per drawer by the number of open drawers. This is the number in 6.9 multiplied by the number in 6.8. Enter this product here: ____________________

6.17 Obtain the number of students to be selected from the data sheet and enter this number here: __________

6.18 Multiply the number in 6.17 by ten (10) and enter the product here: ____________________

6.19 Divide the number in 6.16 by the number in 6.18, round the quotient to the nearest whole number, and enter the number here: ______________________________
This number is the sampling interval.

6.20 Go to Table 1 and obtain the starting number and enter the starting number here: ____________________

6.21 Go to the first drawer. Count file folders until you get to the starting number. Open the file. If it is the file of a BEOG recipient, write the student's name and eligibility index on Worksheet 1. If not, go to the very next file folder. If this student is not a BEOG recipient, continue searching file by file until you come to a recipient. Record the information on Worksheet 1.

6.22 Starting with the last record selected, count forward for the number of files specified by the sampling interval. Open the file. If it is a BEOG recipient record the name and eligibility index on Worksheet 1. If not, continue file by file until you find a recipient. Record the studnet on Worksheet 1. Count forward again by the number specified by the sampling interval.

6.23 Continue the process specified above until you have worked your way through the drawers.

6.24 When you have finished the last drawer, close all the drawers. Consider Worksheet 1 to be a short list. Go to Section 4 and follow the procedures specified.

6.25 Estimate the total number of BEOG recipients and enter this number here: ______________________________

6.26 Obtain the number of students to be selected from the data sheet and enter this number here: ____________

6.27 Multiply the number in 6.26 by ten (10) and enter the product here: ______________________________

6.28 Divide the number in 6.25 by the number in 6.27, round the quotient to the nearest whole number,and enter the number here: ______________________________
This number is the sampling interval.

6.29 Go to Table 1 and obtain the starting number and enter the starting number here: ________________________

6.30 Go to the first drawer. Count file folders until you get to the starting number. Open the file. If it is the file of a BEOG recipient, write the student's name and eligibility index on Worksheet 1. If not, go to the very next file folder. If this student is not a BEOG recipient, continue searching file by file until you come to a recipient. Record the information on Worksheet 1.

6.31 Starting with the last record selected, count forward for the number of files specified by the sampling interval. Open the file. If it is a BEOG recipient record the name and eligibility index on Worksheet 1. If not, continue file by file until you find a recipient. Record this student on Worksheet 1. Count forward again by the number specified by the sampling interval.

6.32 Continue the process specified above until you have worked your way through the drawers.

6.33 When you have finished the last drawer, close all the drawers. Consider Worksheet 1 to be a short list. Go to Section 3 and follow the procedures specified.

Table 1: Random starts for Sections 3, 5, and 6

If sampling interval is	Start with number
2	2
3	3
4	4
5	4
6	1
7	6
8	2
9	7
10-11	5
12-13	8
14-15	8
16-17	15
18-19	3
20-23	7
24-27	17
28-31	6
32-36	32
37-41	6
42-47	31
48-53	30
54-60	52
61+	56

Table 2: Random starts for Section 4 (only)

If sampling interval is	Start with number
2	4
3	4
4	6
5	9
6	6
7	7
8	6
9	8
10-11	4
12-13	8
14-15	7
16-17	7
18-19	9
20-23	10
24-27	7
28-31	4
32-36	4
37-41	8
42-47	2
48-53	2
54-60	10
61+	7

Worksheet 1

Preliminary Sample

Eligibility Index	Name	Eligibility Index	Name

Worksheet 2

Ordered Sampling List

List Number	Eligibility Index	Student's Name
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		

Address Records
for Selected Students
and Their Parents

Student's Name ________________________________

Street ________________________________

City and State ________________________________

Zip Code ____________________

Area Code ____________________ Telephone number: __________

Parent's Name ________________________________

Street ________________________________

City and State ______________

Zip Code ________________________________

Area code ____________________ Telephone number: __________

Student's Name ________________________________

Street ________________________________

City and State ________________________________

Zip Code ________________________________

Area Code ____________________ Telephone number: __________

Parent's Name ________________________________

Street ________________________________

City and State ________________________________

Zip Code ____________________

Area code ____________________ Telephone number: __________

APPENDIX C

SUMMARY REPORT OF PILOT TESTS

SUMMARY REPORT OF PILOT TESTS

1. INTRODUCTION

A pilot test was conducted between Septebmer 20 and 22 to test the procedures for conducting the Basic Educational Opportunity Grant Study and the instruments to be used in obtaining the information. This represented the second testing of the instrument after an informal initial test was conducted in early September.

This report focuses on the pilot test of the student and parent segments of the BEOG study summarizing the outcome and recommendations as a result of the pilot.

2. SELECTION OF INSTITUTIONS

In order to conduct the second pilot at institutions that represented what we could expect to find during the actual survey, three institutions, representing the three institutional types (public, private and proprietary) were selected. Since travel cost was a factor in conducting the interviews for this pilot, we selected institutions that were located in or around the Washington metropolitan area.

The three selected institutions are noted below:

Montgomery College - public

Howard Univesity - private

Lacaze-Gardner - proprietary

Montgomery College and Lacaze-Gardner were included in both our institutional, parent and student surveys of the first pilot test. Because of this prior involvement, we did not experience any delay in contacting respondents and selecting the sample. However, since Howard did not participate in the earlier pilot, it was necessary to inform various university officers at Howard of the study.

In both our telephone contact and personal contact with the institutions, we found a high level of cooperation. Staff members were quite willing to provide any time necessary to assist in our efforts to select a pilot sample and to respond to any questions we had about their files on the processing of BEOG recipients at the institution.

3. SELECTION OF PILOT SAMPLE

Names of students from institutional files were randomly selected by the sampler at the institution. Once the names were selected, a SER worksheet was completed for each selected respondent. This worksheet was used primarily to note whether the student was independent or dependent, as well as to record information that was outlined in the SER. Once the student's name and address was obtained, the sampler attempted to get the names of the parents/guardians. If this information was not available from the student's file, the sampler asked the FAO where within the institution such information could be obtained. A check with the registrar's office was usually done to see if the information could be obtained there. However, as noted in Table 2, we were unable to obtain any updated address information on parents from the institution. We also found that a considerable number of parents of independent students did not have any address information recorded in the files either in the registrar's office or in the financial aid office.

In determining the total sample size for this pilot, we selected approximately 10 to 12 students from each institution. We thought this would be necessary, given our experience with the first pilot. Although the total selected sample was 36, our interviewers were instructed not to exceed the pre-established number of 18 completed interviews for both the student and parent segments.

4. FIELDING CASES

All cases for the pilot were grouped by three criteria: location of the case, institution type, and respondent type. Initially, our fielding approach was to further distinguish the groups by priority. This allowed us to separate the groups by primary, secondary and tertiary cases. This was done to test the contact procedures and what we could expect to establish as the normal time it would take to reach a respondent by telephone and to set a date and time for the interview. The grouping approach allowed us to confine our initial contacts to those identified as primary. When it became no longer feasible to continue contacting this group, we then began to concentrate on those identified as secondary cases.

Given the short field period for the pilot (four days) we found that after the second day of fielding we were unable to adhere to this field strategy since at that time we had only established two appointments. We decided to allow interviewers to make contact with as many respondents as possible to complete the required number of cases by Friday, September 22.

Since we were unable to actually test during the pilot the required number of contacts to reach the respondent and establish a time for the appointment, we anticipate having to make some revisions in our contact procedures during the first week of fielding to reflect our experiences at that time.

5. SURVEY RESPONSE

As we mentioned earlier, the total number of students selected for the second pilot was 36. However, since we were unable to obtain address information for each parent of the student/parent set, our total number of sets for fielding with complete student/parent information was 23. This figure was also further reduced when we eliminated from the sample all of those parents residing outside of the pilot test area. We considered those that resided 30 miles beyond Westat's Rockville office as being out-of-site.

5.1 Student Segment

Table 1 on the following page shows that a total of 15 student cases were fielded for the second pilot. Of the 15, nine were completed. This represented six dependent students and three independent students. The six uncompleted cases fell within three categories:

- Not at home during field period;
- Reached by telephone but would not schedule a time for the appointment; and
- Incorrect telephone number supplied by institution; therefore, contact was impossible.

These problem situations resulted in an overall student response rate of 60 percent. While we find this figure to be alarmingly low, it should be kept in mind that three factors affected the rate. First, the field period was extremely short and does not at all reflect the time available for the actual survey. Second, there was insufficient time to do follow-up on incorrect telephone numbers. And, third, if the respondent

Table 1. Response -- student segment

A.	Total number of students sent letters			36
A.1	Independent		19	
A.2	Dependent		17	
B.	Number of letters returned			0
C.	Total number of releasable cases (A,B,C)			36
D.	Not assigned (C-E)			21
E.	Fielded			15
F.	Outcome:			
F.1	NAH		2	
F.2	Incorrect telephone number		2[1]	
F.3	Unavailable		2[2]	
F.4	Completed		9	
F.4.1	Independent	3		
F.4.2	Dependent	6		
G.	Response rate (E ÷ F.4)			60%

[1] For each of these cases the number provided was that of the respondent's previous employer. No current number was obtained.

[2] Unavailable during field period refers to those respondents we were unable to reach because they would not establish a time for the interview.

indicated any unwillingness to participate, no leverage was exerted to gain their cooperation.

5.2 Parent Segment

The case disposition of the parent segment is noted in Table 2 on the following page. As shown in item B of this table, institutions could not provide parent address information for 13 parents of the pilot sample. This represented approximately 30 percent of the total sample with parents of independent students accounting for an alarmingly high 28 percent of the 36.

The releasable sample for the parent segment was 15. Of this figure, 11 were fielded, resulting with the field outcomes noted in item 6. The overall response rate for this segment was slightly higher than the student at 64 percent.

Table 2. Response -- parent segment

A.	Total number of possible parents/guardians			36
A.1	Independent		19	
A.2	Dependent		17	
B.	Number of parents without address information			13
B.1	Independent		10	
B.2	Dependent		3	
C.	Number of out-of-site parents			8[1]
D.	Total number of releasable cases (A,B,C)			15
E.	Not assigned (D-F)			4
F.	Fielded			11
G.	Outcome:			
G.1	NAH		2	
G.2	Unavailable		2[2]	
G.3	Completed		7	
G.3.1	Independent	1		
G.3.2	Dependent	6		
H.	Response rate (F ÷ G.3)			64%

[1] This figure includes a letter from a respondent that was returned.

[2] Same as student notation.

6. REVIEW COMMENTS

Our documentation efforts to receive input from the interviewers on the outcome of the survey were threefold. First, in the margin of the questionnaire, interviewers were instructed to enter comments on any problems associated with each specific question. In addition to this, they were given summary questionnaires for noting comments about each respondent, the interviewer setting, and the procedures associated with contacting the respondent and administering the questionnaire. Third, at the conclusion of the pilot, a review session was scheduled to record all comments about the pilot. This session, which was attended by the three field interviewers, two project staff interviewers, and other Westat BEOG staff and Macro staff members, was tape recorded for DQA's later review, if such a review was requested.

The debriefing was divided into two sessions. The first was a debriefing of Westat and Macro project staff by the interviewing staff, and the second was a debriefing of DQA staff by Westat.

A summary profile of the respondents and information regarding length of interview, time of interview and number of contacts has been provided in Table 3. As noted there, the overall time to administer this draft of the instrument was 34.5 minutes.

able 3. Pilot test results by respondent type

COMPLETION TIME	NAME	RESPONDENT TYPE	SCHOOL	AGE	SEX	RACE	ADMINISTRATION TIME		DATE	NUMBER OF CONTACTS		DOCUMENTATION AVAILABLE	
							Total	Section C		Personal	Telephone	Yes	No
8:07 pm		Dependent Student	Montgomery	18	F	B	35	7	9/20/78	1	2	✓	
5:37 pm		Dependent Parent	Montgomery	40-45	F	W	61	48	9/20/78	1	3	✓	
9:14 pm		Dependent Parent	Howard	--[1]	F	B	56	24	9/21/78	1	2	✓	
8:46 pm		Dependent Student	Howard	19	F	B	19	8	9/21/78	1	2	✓	
2:29 pm		Dependent Student	Howard	19	M	B	29	11	9/22/78	1	2	✓	
2:59 pm		Dependent Parent	Howard	--	F	B	59	--	9/22/78	1	2	✓	
2:40 pm		Independent Parent	Lacaze-Gardner	45	M	B	25	15	9/20/78	1	1		✓
2:00 pm Approximate		Independent Student	Lacaze-Gardner	20	F	B	40	20	9/20/78	1	1		✓
8:38 pm		Dependent Parent	Montgomery	--	F	--	31	23	9/20/78	1	2	✓	
7:08 pm		Independent Student	Howard	19 Appx.	M	B	62	48	9/21/78	2	4	✓	
2:30 pm		Dependent Parent	Montgomery	51	F	W	--	--	--	--	--	✓	
11:30 pm		Dependent Student	Montgomery	20	F	W	--	--	9/22/78	--	--	✓	
2:45 pm		Independent Student	Lacaze-Gardner	24	F	B	45	30	9/18/78	1	1	✓	
4:35 pm		Dependent Student	Montgomery	18	F	W	42	20	9/20/78	1	1	✓	
5:35 pm		Dependent Student	Lacaze-Gardner	17	M	B	--	18	9/19/78	1	1	✓	
1:00 pm		Dependent Parent	Lacaze-Gardner	--	F	B	30	15	9/20/78	1	1	✓	
		IS - 3 DS - 6 IP - 1 DP - 6	Mont. - 6 L-G - 5 How. - 5	Avg. Age S - 19.2 P - 47.0	F - 13 M - 3	Black - 11 White - 4 DK - 1	IS-49 DS-32 IP-25 DP-32 Avg. 34.5	Avg. 22 min.		Avg. # contacts 1	Avg. # contacts 1.8		

[1] Interviews did not ascertain.

7. RECOMMENDATIONS

In addition to the review comments which are annotated in the attached copy of the student questionnaire, we suggest that the following procedural changes be made in conducting the student/parent phase of the study.

1. We should de-emphasize the point of required participation of students and dependent parents in the initial advance letter. If a followup letter is necessary, a stronger approach at this time would be warranted;

2. We would endorse an IRS form with advance letters for obtaining a copy of the respondent's 1977 form. We would request on the behalf of the respondent and designate that it be returned to the respondent's address;

3. In the advance letter mailing we would also include the "documents to be reviewed" sheet, which also provides a section for obtaining the current address of the student and parent (if a student is being sent the letter we would request the address of the parent and vice-versa for the parent). This form would be returned to Westat with the tax form request;

4. We propose to make three contacts with institutions to complete the sample selection of students and parents. In the first contact by letter, we would inform the institution of our need to obtain a copy of those receiving BEOG. The second contact, which will be by telephone three days later, would ask if the institution will have any difficulty in responding to the request. At the time of the third contact and when the list has been received at Westat, we would telephone to request a copy of the SER for each selected respondent. If at the time of the second contact it is found that the institution cannot provide the list, a decision will be made on whether to send a staff member to the institution to create the list, select the sample, and obtain a copy of the SER.

5. We propose to include in the advance letter to institutions cards for the registrar and FAO to identify the person within each department to whom we should direct all inquiries.

6. We suggest that the NAH card that was used during the second pilot also be used during the actual survey.

8. SUMMARY

Many of the procedures that will be implemented during the actual survey are procedural changes made as a result of the pilot test. These centered around issues of time for securing documents, number of contacts necessary to establish appointments, procedures for handling evasive respondents or those who had decided not to comply, and problems arising from incorrect telephone and address information. While we have been able to identify some of the problems and procedures for handling them, we feel the pilot did not adequately test or identify all of the potential problems. Therefore, we expect that some procedural changes will be necessary during the actual survey.

In terms of the instruments, we feel that they were reasonably well tested and that a few major revisions will be necessary (e.g., independent and dependent student questionnaires merged) particularly in the area of format, but for the most part, the interviewers suggested only a few substantive changes.

If DQA would want to review the actual pilot instrument or any of the supplementary interviewing materials, these records are available at the Westat office.

APPENDIX D

PROPOSED TOLERANCE LEVELS

Proposed Tolerance Levels

General Rules

Tolerance levels are presented in Table A-1. However, these tolerance levels should be superseded by the following general rules.

No discrepancy will be resolved if the absolute value of the discrepancy is less than $50. Most tolerance levels are specified in terms of plus or minus a specified percent (usually 10%) of the value reported on the SER. Many discrepancies associated with the amount in savings accounts are small in dollar amounts but are large in terms of the percentage of the SER value. This general rule is designed to eliminate followups on these trivial discrepancies.

Responses of "do not know" and "no answer" will be considered to be consistent with SER values for the purposes of data retrieval. If the respondent cannot or will not provide a value at the time of the interview, the respondent is not likely to provide a value in response to a telephone inquiry. Therefore, followup calls do not appear to be warranted.*

For SER value number 13, the nine yes/no answers that determine status, an answer will be considered consistent unless the answer would change the status of a student (from dependent to independent, or independent to dependent). List all.

---

*Responses of "0" will be considered consistent with blank SER values.

For SER value number 16, marital status, the answers single, separated, divorced, and widowed would be consistent. There is a high incidence of respondents reporting "separated" on the SER and "divorced" on the questionnaire, and reporting "divorced" or "widowed" on the SER and "single" on the questionnaire. Since the categories in the marital status question are not defined in the instructions to the BEOG application form, there could be some confusion.

Tolerance Levels

Table A-1 presents the proposed tolerance levels. Certain SER values are not being verified by the interview, and therefore, tolerance levels are not applicable (NA). For other items no tolerance (None) will be allowed. If the interview response does not match the SER value, a followup call will be made. The remaining items have a tolerance level that is expressed as a percent of the SER value. In general, if a value obtained during the interview is within plus or minus ten percent of the SER value, no followup telephone call will be made.

Table A-1: Tolerance Levels

SER No.	Question No.	Item Description	Proposed Tolerance	
1		Last name	NA	
2		First name	NA	
3		Middle initial	NA	
4		SS number	NA	
5		Birth date	NA	
6	B10, B11	Citizenship	None	
7		Year in school	NA	
8		Parent's age	NA	
9		State	NA	
10		Data released	NA	
11		Date signed	NA	
12		Signed by	NA	
13	B4, B15	Live with parent in 1977	None	See Attachment A - General
13	B5, B16	Live with parent in 1978	None	
13	B6, B17	Live with parent in 1979	None	
14	B1, B12	Exemption in 1977	None	
14	B2, B13	Exemption in 1978	None	
14	B3, B14	Exemption in 1979	None	
15	B7, B18	Parents provided support in 1977	None	
15	B8, B19	Parents provided support in 1978	None	
15	B9, B20	Parents provided support in 1979	None	
16	B21	Marital status	See Attachment A - General Rules	
17	B22	Household size	None	
18	B23	No. in Postsec. Ed.	None	
19			NA	
20		Non-taxable income	NA	
21	B25	Exemptions	None	
22	B26	Adjusted gross	10%	
23	B27	Income earned	10%	
24	B27	Income earned	10% + or minus	
25	B28	Income tax	10%	
26	B29	Itemized deductions	10%	
27	B30	Medical expenses	10%	
28	B31	Casualty loss	10%	
29	B33	Tuition	10%	
30	B35	Home value	15%	
31	B36	Home mortgage	10%	
32	B39	Investment value	10%	
33	B40	Investment debts	10%	
34	B42	Business value	10%	

Table A-1: Tolerance Levels (continued)

SER No.	Question No.	Item Description	Proposed Tolerance
35	B43	Business debts	10%
36	B45	Farm value	10%
37	B46	Farm debts	10%
38	B60	Savings	20% + or - or DK
39	B60	Resources	20%
40	B61	Vet Ben.: Amount	10%
41	B62	Vet Ven.: Months	1 month + or -
42	B63	SS Ben.: Amount	10%
43	B64	SS Ben.: Months	1 month
NTI	B47-59	Non taxable income	10%

APPENDIX E

FIELD PROCEDURES DOCUMENTATION

E-1: General Interviewer Procedures
E-2: Field Supervisor Memos
E-3: Field Procedure Policy Changes

Appendix E-1:

General Interviewer Procedures

Westat, Inc.
11600 Nebel Street
Rockville, Maryland 20852
Telephone 301-881-5310

January 5, 1978

Dear Interviewer:

You have probably been informed by now that field interviewing on the Basic Educational Opportunity Grant Study is scheduled to begin the week of January 8th. I know that you share in our enthusiam for this long awaited and welcomed news.

The enclosed material along with this memorandum informs you of any changes that have occurred in the field procedures, questionnaires or interviewing materials. Please read and review carefully each attached item before you begin interviewing. After you have reviewed the materials, contact your supervisor to establish a time to provide weekly progress reports. She or he will also have additional instructions to provide you. The enclosed materials are as follows:

(1) Field Organization for BEOG Study - This chart has been considerably changed from the original one that appears in your manual. Remove and destroy the one provided in your manual and insert the attached. The supervisor originally assigned to your region may have also been changed so be sure to check to make certain you are contacting the correct supervisor.

(2) Interviewer Assignment Package - The assignment package identifies all items that have been given to you at the time of training as well as those included in this package.

In addition to the Assignment Package sheet, we have also provided a Request for Additional Supplies sheet that you can send to your supervisor to request additional supplies during the field period.

(3) Appendix C - We have included with this package an additional update to the instructions to be inserted in your manual. For ease in referring to these instructions, we have provided them in one Appendix. Follow the instructions noted there for using these items.

(4) Information Fact Sheet (IFS)/Document Decision Chart (DDC) - The Information Fact Sheet, Exhibit 16, in your manual has also been revised. The new IFS, has been inserted into a plastic folder to carry into the field. On the reverse side of the folder you will find a field copy of the Document Decision Chart. An additional copy of this chart along with an explanation of its use has been provided in Appendix C.

In addition to the revised field materials and instructions you should read, there are a few additional items you should be aware of as well as tasks which should be performed before conducting interviews.

- For Interviewers Residing in Regions 1, 2 or 5

  If you are an interviewer residing in regions 1, 2, or 5 as noted on the attached revised field chart, you will receive your initial assignment from the Rockville office since your supervisor will be unavailable until January 13th. For the week of January 8th, your contact at Rockville will be either Jim Ter Maat or Jim Hicks. A contact schedule for reaching these persons to call you has been provided as one of the attachments. If it is impossible for you to talk for thirty or forty-five minutes at the noted time, you should call Westat at the time specified to arrange for another appointment. After January 12th, all future contacts regarding your assignments should be made with your supervisor.

- Sending of Material

  You will receive from the Rockville office all non-specific field materials that have been enumerated on the Assignment Package Sheet. All materials dealing with specific assignments are sent by your supervisor (except for Regions 1, 2, and 5 for this mailing). This includes the Call Record Folders, with labels attached, Interviewer Assignment Records, four additional large labels, and three small labels.

- Chapter Review

  We suggest that before fielding you may want to review some critically important chapters. These would include Chapters 3, 8, 10, 11, 16, 17, and 18. These chapters provide most of the instructions on using the various field materials and the questionnaires. If you have any questions, contact your supervisor unless you have been supplied with another name.

- **Advance Letters**

  You have now been provided with complete copies of the advance letters mailed to each respondent type. Because we have also made a change in the advance letters, discard the copies in your plastic folders and insert the enclosed.

- **ID Package**

  A brown envelope containing your ID Card, a picture and lamination along with a memo noting assembling instructions has been included. On the outside of the envelope is your three digit interviewer ID number.

- **Telephone Review Sheet**

  You should remember that you will attempt to conduct the telephone interviews (for those having telephones) for each respondent you have been given to contact within the first week of fielding. Keep in mind when establishing these appointments that you must: (1) allow for the time noted in the Document Decision Chart instructions on the use of the Document Decision Chart (Appendix C) and (2) allow enough time in between appointments to be on time for the agreed upon appointment.

  When returning the Call Record Folder to your supervisor, you will also insert along with other materials noted during training the Telephone Review Sheet.

- **Field Agreement**

  Enclosed are two copies of the field agreement; sign and return one copy with the first time sheet you submit to your supervisor, and keep the other copy for your files. If the supervisor does not receive a field agreement from you she/he will be unable to approve your time.

- **Interviewer Application**

  As we mentioned at training, you were to complete and return the new Westat Interviewer's Application Form. Unless we have a copy of this application in our files, we will be unable to contact you for future Westat surveys. If you neglected to complete an application, notify your supervisor.

- **State Code Sheet**

  A State Code sheet has been included for noting wherever "state no." appears the appropriate code.

  You will notice that in some materials we refer to "region" and in others "site". For the purposes of this study, these two words are synonymous.

- **Parent/Student Address Update Cards**

  At this time we do not have sufficient address update cards to include in this package. Until you receive additional cards (also questionnaires) next week, use the Westat return envelopes for providing change in addresses. Be sure you provide all information that is on the card as noted in Exhibit 11-3 (page 11-12) of your manual.

- **OMB Number**

  Although we have obtained approval to field this study prior to receiving an OMB Clearance number, we have not received it at this time. When we receive the number, you will be instructed to write it on the questionnaire. For all questionnaires you complete before hand, we will stamp the number on when it reaches our office.

- **Trip Expense Sheets for Training**

  All expense sheets for the Washington, Los Angeles and Chicago training sessions should have been received in our Rockville office by now. If you have not sent it in yet, you have until January 12, 1979. At that time we will stop processing any other expense claims.

- **"Stay Ready" Bonus**

  As D. Rogers mentioned in his memorandum of November 30, the Stay Ready Bonus will be paid in the middle of February. The amount will be for each week after training up until the Wednesday following receipt of assignments. We will inform your supervisor of the exact date you can expect to receive this check. Please do not raise this matter with him/her until this time.

In closing I would like to mention to you a term frequently used among those dealing in the computer sciences--GIGO. It simply means garbage in, garbage out. The quality of data we obtain will depend on you. I hope at the end of the study, we can all be proud of our individual efforts.

Looking forward to an interesting field period, I remain

Sincerely yours,

Westat, Inc.

Jim Hicks (pnd)

James O. Hicks
Field Director

Enclosures

JOH:tac

APPENDIX C

The following materials should be included in your manual as Appendix C. They consist of the following:

1. Document Decision Chart - This chart and the accompanying explanation have been designed to enable you to make decisions on the telephone and at the door whether a respondent has sufficient documentation to do the interview. You have been provided with a plastic sheet to protect the chart so that it can be taken with you in the field.

2. Changes to the Questionnaire - There have been a few changes to the questionnaire since the training sessions. Revisions contemplated during your training session may or may not have been implemented. The questionnaire you are receiving in this packet, however, is the final version and should be administered in its present form. Take some time to review the list of changes with the new questionnaire included in your packets. Questions which have been changed should be corrected in your Question-by-Question Specifications.

3. Updates to the Question-by-Question Specifications - Any changes to your specifications will be listed here. If a specification has changed significantly, you have been provided with replacement pages for your manual. If the change is not major, you will not receive replacement pages, but are expected to make the additions, deletions, or corrections "by hand".

4. Changes to Procedures - Any changes to procedures have been listed. Make the appropriate updates to your manual.

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DOCUMENT DECISION CHART

By the advance mailing, respondents have been informed of what documents will be required for the interview. It is expected, however, that all respondents will not have gathered every document requested of them by the advance letter. The attached chart has been designed to help you decide what course of action you should take when a respondent has not or cannot obtain all the documents requested of him.

You will note on the chart that the crucial documents for determining your course of action are 1040 or 1040A forms and any non-taxable income statements. The first two rows of the chart tell you what to do when you encounter respondents to whom these documents are applicable. If neither of these types of documents are applicable to a respondent, your course of action will be based on the last line of the chart.

1040 or 1040A - If a respondent is a independent student, dependent parent or independent parent who has filed a 1977 federal income tax return, you must base your course of action exclusively on the availability of the tax form.

Remember that while you will be basing your decision on the availability of the tax form, always urge a respondent to obtain all documents requested by the advance mailing during any interim between an initial contact and an appointment date for the interview.

Non-Taxable income statements: If a respondent is:

- a dependent student who receives non taxable income; or
- a dependent parent or independent student who did not file a 1977 federal tax form but does receive non-taxable income,

this row should be used exclusively to base your decision on whether to conduct the interview. Non-taxable income statements include statements from a veteran's office, social security statements, and public assistance statements. Remember that while you will be basing your decision on the availability of the non-taxable income statements, always urge a respondent to obtain all documents requested by the advance mailing during any interim between an initial contact and an appointment date for the interview.

All Other Cases: For respondents that fall into any other category, follow the guidelines in the last row of the chart. Basically, if a tax form or non-taxable income statement is not applicable to a respondent, the respondent should be urged to gather any documentation he can, but an attempt to interview should be made immediately.

Note that the vertical columns provide you with guidelines for action to be taken depending on whether the contact is by telephone or in-person (at door). All respondents for which tax documents or non-taxable income statements are applicable documents will fall into one of three states of readiness to do the interview:

HAS DOC - The respondent has readily accessible a 1040/1040A form or all applicable non-taxable income statements.

CAN GET-ONE WEEK - The respondent indicates that he can obtain copies of tax forms or non-taxable income statements within a week. An appointment should be set in advance for a date immediately following the allowance period. Respondents who have requested a copy of their tax form via form 4506 fall into this category if the 4506 was submitted to an IRS Center at least two weeks prior to your contact and it is likely that the copy will be received within a week.

CANNOT GET-ONE WEEK - The respondent indicates that he cannot get copies of tax forms or non-taxable income statements within a week's time.

The following are examples of how the chart can be used to determine your course of action.

Situation	Action
1. You telephone an IS who has a copy of 1040A but does not have copy of his veteran's statement.	Set immediate appointment. Urge R to obtain all documents, including veterans statement during interim.
2. You make in-person contact with a DS who has a SS statement but needs time for birth certificate.	Attempt to do the interview immediately. If the respondent would rather you come back later, set an appointment for the immediate future and urge R to obtain all documents during the interim.
3. You make an in-person contact with a "no phone" DP that lives 15 miles from you. This respondent has a public assistance statement but has not yet obtained a tax form. R says she can get the form in a week.	Allow R one week to obtain tax form. Attempt to establish appointment though, for date after allowance period. Urge R to obtain all other documents during interim.

DOCUMENTATION DECISION CHART

spon- nt pe	Applicable crucial documents	Telephone			At Door		
		Has DOC	Can get one week	Cannot get one week	Has DOC	Can get one week	Cannot get one week
DP IS IP	1040 1040A	Make immediate appointment.	Allow R one week to get tax forms. Try to establish advance date appointment.	Make immediate appointment. Urge R to get any other applicable documents requested of him during interim.	Do interview.	If R has phone or distance is less than 20 miles allow R one week to get tax form; ALL OTHER CASES: Do interview immediately.	Do interview.
DP IS DS	Non-taxable income statements (e.g. social security Veterans or public assistance statements)	Make immediate appointment.	Allow R one week to get statements.	Make Immediate appointment. Urge R to get any other applicable documents requested of him during interim.	Do interview.	If R has phone or distance is less than 20 miles, allow R one week to get statements. All other cases: do interview immediately	Do interview.
DP IS DS IP	Any other documents	Urge R to get any documents but establish immediate appointment; allow no additional time for R to gather documents.			Attempt to conduct interview immediately; allow no additional time for R to gather documents.		

CHANGES TO THE QUESTIONNAIRE

General - Numbers for keypunching the data after the interview have been added throughout the questionnaire. They appear near the right hand margin in Section A. Also, in the questionnaire are keypunch instructions like "BEGIN CARD 02" (before Q. A-10). Keypunch instructions and numbers should be ignored by you while administering the interview.

A-4 - Note the placement of the "bracket" skip. All respondents are skipped from A-4 to Box 2.

Box 2 - Note the slight change in wording of this instruction.

A-5 - An instruction has been added: "PLACE ASTERISK (*) BY FIRST RESPONSE GIVEN.

A-19 - The response categories "STILL IN PROCESS" and "or was the grant suspended" have been switched around so that all "respondent asked" categories are now grouped together.

Box 5. - Instructions have been added to tell you which phrasing of the grid Questions B, C, and D you should read the respondent. Also a phrase has been put in so that you can provide the respondent the date he signed the application. The date can be found in the upper left corner of the Call Record cover.

Box 6 - A phrase has been put in so that you can provide the respondent the date he signed the application. The date can be found in the upper left corner of the Call Record cover.

Grid Questions - On all Section B pages, an alternative wording of grid questions B, C, and D has been provided. The alternate or second phrasing of the question should be read:

- When an independent parent indicates at Box 5 that he did not assist in filling out the application.

- When a dependent student, dependent parent or independent student claims during Section B that he has had nothing to do with the application process. (See the Box 6 Replacement Page 18-1 for more specifications on this).

For such a respondent grid Question B, for example, would be read as follows: "What document was used in completing the grant application?"

B-5 This question has been reworded because the field period is beginning in 1979. You no longer ask a parent if a student is "currently living with you."

Box 7 Box 7 has changed slightly. "VERIFICATION ITEM" has been inserted to remind you that your review of Questions B-1 through B-9 should be based only on the verification portion of the question. Also, if all responses to B-1 THROUGHB-9 are no, don't know, or DID NOT FILE, you are instructed to skip to Box 10.

B-16 - This question has been reworded because the field period is beginning in 1979. You no longer ask the student "are you planning" to live with your parents in 1978.

B-21 - The skips in this question have changed. Basically, everyone who is asked B-21 (DP's and IS's) is now skipped "around Box 8" to B-22.

Box 8 - This instruction is now only for Dependent Students. The instruction remains essentially the same, except for the addition of the "DID NOT FILE" condition. As in Box 7, when reviewing Questions B-12 through B-20, only look at the coding of the "verification item" questions.

B-22 - The phrasing of this question has been slightly altered to make it more readable.

B-47 - Note that this question has been reworded so that it clearly states we are interested in "veteran's benefits other than educational benefits and social security other than educational benefits."

B-51 - The phrasing of this question has been slightly altered to make it more readable.

Box 9 - This box instruction has been simplified. Upon completing B-60, all parents are skipped to Box 10 and all students are skipped to B-61.

Box 10 - There is now only one concluding statement to be read to every respondent.

UPDATES TO THE QUESTION-BY-QUESTION SPECIFICATIONS

A-2 The instruction to this question tells you to hand the respondent the application form portfolio. Applications should be taken from the portfolio and handed to the respondent individually as you are reading him the associated response categories.

A-21 Change the first sentence of this specification to read: "If a respondent asks if this is limited to student financial aid loans such as the National Direct Student Loan Program or the Guaranteed Student Loan Program, inform him/her that this should include any loan from commercial banks, finance companies or any other lending institutions which was taken out for the specific purpose of financing an education.

A-23 See Replacement Page 17-25.

Box 5, Box 6 - See attached Page 18-1 and 18-1A.

B-5 Delete second sentence at this specification.

B-6 Add the following to this specification:

> This question is designed to inquire of the parent whether a son or daughter "will live" with a parent for two consecutive weeks in 1979. While the future tense (will) is used for this question, keep in mind that we are interested in any two consecutive week period in the entire year of 1979.

Box 7 See attached Replacement Page 18-10.

B-17 Add the following to this specification:

> This question is designed to ask of the student whether he/she "will live" with a parent for two consecutive weeks in 1979. While the future tense (will) is used for this question, keep in mind that we are interested in any two consecutive week period in the entire year of 1979.

B-21 See Replacement Page 18-22.

Box 8 See Replacement Page 18-23.

B-22	Add this note to the specifications for this question: Tax form 1040 and 1040A will provide a household size number for 1977. This may or may not be in agreement with the figure the respondent gives you because the question asks for household size at the time the application was signed. If such a discrepancy arises, record all the pertinent information in the comments section.
B-36	Change the second sentence of the second paragraph of the documentation section to read "Because none" rather than "Because some."
B-47	Add "other than educational" to veteran's benefits.
Box 9	See Replacement Pages 18-62 and 18-63
Box 10	See Replacement Pages 18-68 and 18-69.

UPDATES TO PROCEDURES

Call Record - Respondent type will appear in the upper right hand corner of the Call Record as a respondent type code, not in written form. It is important that you double check all of these codes with the large labels on the Call Record to make sure you are attempting to contact the proper respondent.

The date the application was signed will be provided for you at the upper left corner of the Call Record. This date will be read to the respondent when you get to Box 5 or Box 6.

Door Insert Card - Please print your name clearly when you leave this card in order that any messages from a respondent can be expeditiously forwarded to you through the home office.

Blue Information Sheet - In your packets you have been given blue sheets which are to be given to every respondent before you begin the interview. These sheets provide information about the study as well as outline for the respondent certain participation requirements. While this page was enclosed in the advance mailing, you should give one to each respondent before beginning the interview.

OMB# - Westat has just received clearance from the Office of Management and Budget to begin interviewing. However, due to "time crunch," we have had to print questionnaires before the OMB approval number could be assigned. To follow federal regulations, when we do receive the OMB Approval #, it will be necessary for you to add this number to the upper right corner of the Questionnaire.

Telephone Review Sheet - There have been a few changes to this sheet. We will, however, not be issuing a new version of it, so it will be necessary for you to make these changes on every sheet before you begin your contact attempts.

- The only documentation requested of IP's now is a tax form. Do not ask IP's for copies of bank statements.
- When requesting social security forms and veteran's assistance forms, do not request for specific forms 2458 and 8332-2A as your Tele Review Sheet indicates. Request any social security and veteran's assistance form which documents assistance on educational benefits.
- IS's were mistakenly not asked in the advance mailing to provide public assistance award titles. If this document is applicable to a DP, be aware that your phone contact will be the first time the DP learns that he needs this document for the interview.

Knowledgable Parent - As discussed during training, you should attempt to interview the parent who was most involved in the financial aid process and has the most knowledge of the family's finances. If this parent refuses or is unavailable for the interview, it is permissable to interview the other parent.

Hand Cards - In your packets, you have been sent new hand cards. Replace the ones you received during training with them.

Advance Letters - You will receive additional copies of the advance letter to show respondents with your packets. There has been a change in the advance letter and the ones you received at training (in the plastic sheets) may or may not be the "latest version." Check them with the letters in the new packets and substitute if necessary.

REPLACEMENT PAGE

A-23. Are you in default on any of the loan(s). By default we mean failure to meet the financial repayment obligation of a loan for which some collection agency, institution or representative has contacted you (your son/daughter) requesting payment?

YES.	1	Box 4
NO	2	
DON'T KNOW	8	
NO ANSWER.	9	

BOX 4

Independent Parent - Go to Section B, Box 5
Dependent Parent - Go to Section B, Box 6
Independent Student- Go to Section B, Box 6
Dependent Student - Go to Section B, Box 6

QUESTION INSTRUCTION:

A-23 Read the entire question to the respondent including the definition of default before allowing the respondent to reply. A loanee may be considered in default if at any time a representative from a lending institution has contacted him requesting payment. This may occur whether the loanee is still enrolled or has left the school.

Box 4 is provided after A-23. Provided in this box are the instructions for determing which box you go to on the introductory page of Section B.

REPLACEMENT PAGE

Box 5

Read to Parents of Independent Students only:

In this section, I will be asking you some questions specifically about items on your son's/daughter's BEGO (Financial Aid) application. The Office of Education is also interested in finding out about which items people have trouble completing. If you assisted in filling out the application, I will be asking you about which items gave you trouble. According to our records, the application was completed on ___________ ___.

(Call Record)

Did you assist in filling out the application?

Yes . . . . 1 } GO TO B-1 AND READ 1st PHRASING OF GRID QUESTIONS B, C, AND D

No. 2
DK. 8
NA. 9
} GO TO B-1 AND READ 2nd PHRASING OF GRID QUESTIONS B, C, AND D

Box 5 contains an introductory statement to Section B for Parents of Independent Students. This should only be read to this respondent type. The last sentence is the means whereby you inform the respondent of the date the application was signed. This is extremely important because the respondent will formulate many of his answers in Section B based on the date you provide. The date you are to give to the respondent is written in for you in the upper left-hand corner of the call record.

If an IP answers Yes to the question "Did you assist in filling out the application", you will read the first version of all grid questions B, C, and D at the top of all Section B:

B: What document did you use in completing your grant application?

C: Did you have any trouble answering this question when you filled out your grant application?

D: For which of the following reasons did you have trouble answering this question.

If an IP answers NO, DK, or NA to this question, you will read the second version of all grid questions B, C, and D:

B: What document was used in completing the grant application?

C: Was there any trouble answering this question when the grant application was filled out?

D: For which of the following reasons was there any trouble answering this question?

REPLACEMENT PAGE

Box 6

Read to Independent Students, Dependent Students, and Parents of Dependent Students

In this section, I will be asking you some questions to verify items on your (your son/daughter's) BEOG application. The Office of Education is also interested in finding out which items on financial aid applications people have trouble completing. So, for each item, I will be asking whether you had trouble with it when filling out the original application. According to our records, the application was completed on ________________.

Call Record

ASK DEPENDENT STUDENTS ONLY

Did you assist in filling out the application?

Yes	**1**
No.	**2**
DK.	**8**
NA.	**9**

IF PARENT, GO TO B-1.

IF STUDENT, GO TO B-10

The top portion of Box 6 is read to independent students, dependent students, and parents of dependent students. As with the IP's in Box 5, you will provide these respondents with the date the application was completed

The second portion of the box is asked only of dependent students to give you an advance indication of the level of involvement that a DS has had in the application process.

Note the skips at the bottom of the box. All parents begin at B-1; students start at B-10:

DS's, IS's and DP's should all be familiar with some aspect of the application process. Therefore, you should always begin questioning in Section B for these respondents by using the first phrasing of the grid questions. If the respondent insists that he had little or no involvement in the application process and this line of questioning becomes cumbersome, switch to reading the respondent the second phrasing of grid questions B, C, and D.

REPLACEMENT PAGE

B-9. Will your son/daughter receive assistance worth $600 or more from you during 1979? Yes. . . 1 } B-9C No . . . 2 } B-9C DK . . . 8 } B-9C				Yes. . 1 B-9D No . . 2 } Box 7 DK . . 8 } Box 7 NA . . 9 } Box 7	Understanding of questions . . . 1 Understanding of instructions. . 2 No Info . . . . . . 3 Inapplicable. . . . 4 Other ____________ ____________ ____________ 5 DK. . . . . 8 NA. 9	Box 7	SER #15 Consistent __ Incon-sistent __

B-9

Question Instructions:

The specifications for B-9 are the same as those noted for B-7 except for the fact that B-9C is asked regardless of the response to B-9

If yes to B-9C, you ask B-9D. If the response is No, DK, or NA to B-9C, you go to Box 7.

BOX 7

P.I. - REVIEW B-1 THROUGH B-9. IF RESPONSE TO ANY VERIFICATION ITEM QUESTION B-1 THROUGH B-9 IS CODED YES, SKIP TO B-21. IF ALL RESPONSES FOR VERIFICATION ITEMS B-1 THROUGH B-9 ARE NO, DON'T KNOW, OR DID NOT FILE (IF APPROPRIATE) GO TO BOX 10.

P.D. - SKIP TO B-21

Box 7:

Instructions for both the parent of independent student and parent of dependent student have been provided here:

- If it is a P.I., you will go back and review only the verification item questions B-1 through B-9 and check the responses coded there. If yes is coded in any question from B-1 through B-9 you will skip to B-21. If all responses to B-1 through B-9 are No, DK, or did not file, go to Box 10 on Page 21
- If it is a P.D., you will always go to Question 21.

We are attempting to obtain additional information from parents of independent students by continuing with B-21, because the response indicates that they have provided some support to their son/daughter. However, you should not in any way inform the respondent that his responses have required you to continue the interview. The respondent will be unaware, unless informed by you, that the interview could have been terminated at this point.

Documentation Instructions:

No Documentation

REPLACEMENT PAGE

-21. What was your marital status on the date you signed the application? Single. . . 1 Married . . 2 Divorced. . 3 Separated . 4 Widowed . . 5 } B-21C				Yes . 1 B-21D No. . 7 DK. . 8 NA. . 9 } B-22	Understanding of questions . . . 1 Understanding of instructions. . 2 No Info. . . . . 3 Inapplicable . . 4 Other ________ ____________ ____________ 5 DK . . . . 8 NA 9	} B-22	SSP #13 (12 and 13 only) Consistent __ Incon-sistent __

B-21

This is the first question which is asked of both a parent and student. If an independent parent is continuing with the interview, the only document we have requested that they have available is a tax form. Therefore, ask for documentation where indicated, but probe by listing possible documents if a respondent cannot respond on first asking, and then be prepared to code NO DOCUMENTATION should the respondent be unable to provide any. Keep in mind when asking this entire series of questions that the independent parents participation in any part of this interview is voluntary.

For all responses to B-21, you ask B-21C.

Again the response categories for B-21C will direct you to ask different questions depending on the respondent type as noted below:

- o Yes response: All respondents are asked B-21D.
- o No, DK or NA: All respondents are asked B-22.

Documentation Instruction:

No documentation.

REPLACEMENT PAGE

BOX 8

DEPENDENT STUDENTS ONLY

Box 8

IF R LISTED ON HIS OR HER IDENTIFICATION LABEL AS A DEPENDENT STUDENT (RESPONDENT TYPE 2), AND ANSWERED "YES" OR "DON'T KNOW" OR "DID NOT FILE" TO ANY OF THE NINE VERIFICATION ITEMS FOR QUESTIONS B-12 THROUGH B-20, SKIP TO QUESTION B-60. IF ANSWERED NO TO ALL OF THE VERIFICATION ITEMS FOR QUESTIONS B-12 THROUGH B-20, GO TO B-22.

The box which has been inserted between B-21 and B-22 includes instructions pertaining to the dependent student interview only. For each dependent student interview, you will do the following:

- Turn quickly to the label on the front of the questionnaire to verify that the respondent is a dependent student.
- If the respondent is a dependent student - turn to B-12 (blue pages) and check verification item questions B-12 through B-20 to see if a No, DK or did not file response was given to all questions. If so, continue interview with B-22. If a Yes response was given to any of the questions in this series, skip to B-60.

It is not necessary to read this box when you are administering a parent or independent student interview.

REPLACEMENT PAGE

B-60. When you signed your application, what was the amount of your cash, savings and checking accounts, excluding any amounts you received through educational loans or grants? $________	NO DOCUMENTATION. . Bank books. . . . . Bank statements . . OTHER________ ________ LEFT IT BLANK . . . DON'T KNOW.	1 2 3 4	1 2 3 4 5 8	Yes . 1 B-60D No. . 2 } Box 9 DK. . 8 }	Understanding of questions. . . . . 1 Understanding of Instructions . . . 2 No Info . . . . 3 Inapplicable. . . . 4 } Box 9 Other________ ________ 5 DK. . . . . 8 NA. 9		SER #34: PD, IS SER #39: DS Consistent__ Incon-sistent __

B-60

Question Instructions:

Be sure you emphasize the phrase "when you signed the application" when reading this question. You should also emphasize that the amount reported should exclude any amounts received through educational loans or grants.

If yes to B-60-C, ask B-60D. If no or DK to B-60C, go to Box 9.

If you ask B-60-D, any response given will direct you to Box 9.

Documentation Instructions:

Bank Books
Bank Statements

These sources will verify the amount of money the respondent had in savings and checking accounts at the time the application was signed. Be sure to "zero in" to the proper date.

REPLACEMENT PAGE

BOX 9

IF R IS A PARENT, GO TO BOX 10
IF R IS A STUDENT, GO TO B-61

Box 9

Box 9 flags for you the following important skip:

- All parents are sent to Box 10 for the conclusion of the interview.
- All students are sent to B-61.

Above the column headings for question B-61 through B-64 is the transition statement for the last series of questions.

REPLACEMENT PAGE

B-64. For how many months between July 1, 1978 and June 30, 1979, do you expect to receive these social security educational benefits? ______	NO DOCUMENTATION. .	1	1	Yes . 1 B-64D	Understanding of questions. . . . 1	BOX 10	SER 843
	SS Form 2458. . . .	2	2	No. . 2 BOX 10	Understanding of Instructions . . 2		
	Statement from SS Office	3	3	DK. . 8	No Info 3		
	OTHER ______	4	4		Inapplicable. . . 4		
	LEFT IT BLANK . . .		5		Other ______ 5		
	DON'T KNOW.		8		DK. 8		Consistent __
					NA. 9		Inconsistent __

B-64

Question Instructions:

As you are already aware at this point, B-64 is the last question in the questionnaire.

The dates for this question should again be emphasized.

If the respondent states "don't know" probe by finding out how long during this period do they plan to be enrolled in school. Once you have obtained a figure, ask, "do you expect to receive the Social Security educational benefits for all of this period?"

If yes to B-64-C, ask B-64D. If no or DK to B-64C go to Box 10.

Documentation Instructions:

SS Form 2458 - 2A
Statement from SS Office

The same documents which provided the monthly amount of the educational benefits for Question B-63 should also provide the time period more benefits are scheduled to be received.

REPLACEMENT PAGE

BOX 10 TIME INTERVIEW ENDED ________ a.m. p.m.

This concludes this phase of the interview. My supervisor may want to recontact you to verify the information I have obtained and to ask you some additional questions. If he/she needs to recontact you can you give me a convenient time to reach you.

________________ a.m. p.m.

INTERVIEWER: VERIFY WITH THE RESPONDENT THAT THE ADDRESS ON THE CALL RECORD LABEL IS CORRECT FOR THE PART OF THE PARENT/STUDENT SET YOU ARE NOT INTERVIEWING.

Box 10

This box contains the ending statement for the interview. The reason for the statement is to inform the respondent that recontact may occur as part of the validation process or for the purpose of obtaining additional information. For all respondents, you should attempt to obtain a good recontact time, for the supervisor's followup. This will enable your supervisor to limit her/his telephone time.

Be sure to record your ending time in the appropriate space in the top right hand corner of the box.

As a final check for the correct address information for the member of the parent/student set that you are not interviewing, you should read the address and on the label you have not been given to contact make any corrections that are necessary as per the instructions in Chapter 11 of your manual.

WESTAT, Inc.

Memorandum

To: BEOG Interviewers

Date: January 23, 1979

From: J. Ter Maat

Subject: Interviewer Field Memo #2: Procedural Changes

Attached are procedures documenting the latest changes in the use of 4506 Request Form, Telephone Review Sheet and obtaining the Social Security number of each respondent. Please implement the procedures immediately and keep this memo for future reference.

4506 Request Form

We have now changed the procedures for requesting tax forms (completing form 4506) to include two situations:

1) The respondent uses a worksheet (tax forms already in respondent's possession) as documentation but has not requested a copy of an IRS tax form.

2) The respondent filed a 1977 1040 on 1040A form, does not have a copy of the form, and has got submitted a 4506 request form.

We mentioned at training that you can accept as documentation 1040 or 1040A worksheets (non IRS Copy) the respondent has available. The IRS copy can be distinguished from the worksheet in two ways:

1) All copies will have "BSC photocopy" printed on them,

AND

2) A thirteen (13) digit document locator number is stamped in the top right corner of the tax form. This number is not included on any of the supporting schedules the respondent may request.

Each time a worksheet is used, note in the comments section for that question "worksheet" and remember to have the respondent complete form 4506 at the completion of the interview. Notes on sheets of paper not written on IRS tax forms are not considered worksheets.

You will still follow the procedures outlined in the document decision chart which informs you whether to go ahead and conduct the interview or to wait. Remember that in the situation where the tax form has been requested, you must first find out how long ago the request was made before you decide to go ahead or wait.

After the interview you will use the following procedure for completing a Form 4506 with the respondent:

1. After the interview, state: "We will still need a copy of your 1977 1040 or 1040A tax form. So I would like to complete a request for this form(s) with you at this time. Once your form(s) has/have been processed, the IRS office will return it to you and bill our office for the processing charges. When you receive your form(s) you should enclose it in the self-addressed envelope you will receive from our office in approximately two to three weeks. Once we have taken the necessary information, we will return the form(s) to you." Remind the respondent that Westat will treat these tax forms in confidence. Also tell the respondent that he/she will receive a letter from Westat which outlines in more detail what is to be done once the respondent receives his/her 1040.

2. Complete the 4506 with the respondent, making sure that the following entries are made:

   - Name and address of taxpayer as shown on 1977 tax form;
   - Taxpayer's current address (if different from above);
   - The address the taxpayer wishes the form sent (not always taxpayer's residence);
   - Taxpayer's telephone number;
   - Taxpayer's Social Security number;
   - Circle what form had been filed: 1040 or 1040A;
   - IRS Center where form had been filed of the 4506. (See reverse side for the centers for all States);
   - Taxpayer's signature;

- Enter in pencil the respondent's ID Number in the bottom margin left of the 4506.

3. Send the form to Westat to the attention of Ms. M. Usher. This instruction is an update. Disregard the instructions and the mailing addresses for IRS centers that are given in your manual, Pages 13-6 and 13-7.

Social Security Number

Beginning immediately, obtain the social security number of all respondents at the conclusion of the interview. This information is to be obtained after you have read your closing statement in Box 10 and verified the address information for the other respondent set. Record the number in a blank space within Box 10.

If a respondent asks you why the social security number is needed, reply that you are not familiar with how all individual pieces of data that are gathered will be used but that the respondent can be assured that all information gathered will be used only for the purposes set forth in the advance letter describing the study.

Time interview ended ____ a.m. / p.m.

BOX 10

(OBTAIN SOCIAL SECURITY NUMBER)

____

This concludes this phase of the interview. My supervisor may want to recontact you to verify the information I have obtained and to ask you some additional questions. If he/she needs to recontact you, can you give me a convenient time to reach you?

____________________ a.m. / p.m.

INTERVIEWER, VERIFY WITH THE RESPONDENT THAT THE ADDRESS ON THE CALL RECORD LABEL IS CORRECT FOR THE PART OF THE PARENT/STUDENT SET YOU ARE NOT INTERVIEWING.

Telephone Review Sheet

In order that Westat and the Office of Education can get an advance indication of the types and completeness of documents that respondents have gathered for the study, we want you to make a copy of the Telephone Review Sheet (TRS) and send it to the home office once you determine which documents the respondent will have available for the interview. The copy may be made manually, being careful to record complete ID data, or from any readily available commercial copying establishment. Until further notice, this should be done for every respondent you contact. (You should also send us copies of TRS's for cases you have completed before this notice and which are still in your possession.) TRS copies are to be sent each week to the attention of Ms. Usher. (The original TRS should remain inside the Call Record.)

As dicusssed during training, the most effective method of completing the TRS is to check the appropriate box when the respondent indicates that a type of document is applicable to him. Then enter in the lines provided the specific name of the document which the respondent will or will not have present for the interview. Pay particular attention to the crucial documents: 1040's and non-taxable income statements. An example of a properly completed TRS is attached.

Example

AFFIX LABEL HERE

TELEPHONE REVIEW SHEET FOR DOCUMENTS

INSTRUCTIONS: Using the Telephone Statement below go over with each respondent the appropriate documents per the noted respondent type. If respondent does not have the document, indicate the reason why in the space provided as well as noting any other comments the respondent makes.

After going over the document list, verify the address of the parent and student and establish a time for the interview if the necessary documents are available.

STATEMENT: Hello, may I speak with ________________________. I am an interviewer for Westat, Inc. As you know from the letter that was sent to you about 6 weeks ago by the Office of Education, Westat is conducting a certification study of Basic Education Grant recipients. You have been randomly selected from a list of (grant recipients, parents of grant recipients) at ____________________ (School Name) to participate. The Office of Education is interested in determining the experience you, as a (grant recipient/parent of grant recipient) have had obtaining a grant. And secondly, they would like to verify that you (your son/daughter) are receiving the proper grant amount. That's why we asked you to obtain these verifying documents. I would like to go over the list with you to find out what documents you will have available.
READ DOCUMENTS OF APPROPRIATE RESPONDENT TYPE

If Independent Parent Objects:

While I realize that you may not be involved in your (son/daughter's) BEOG application process, we are interested in interviewing you for any experience you migh have had with the program so that we might get a total picture of the BEOG process.

RESPONDENT TYPE IS

(1) IS	(2) DS	(3) IP	(4) DP	
☒		☐	☐	Income Tax Forms (Form 1040 or 1040A) and supporting schedules. IF MARRIED STUDENTS FILED SEPARATE FORMS, BOTH SHOULD REQUEST COPIES OF FORMS. (IF NECESSARY, PROBE WHETHER RESPONDENT FILED) Has 1040 A
☒	☐			Birth certificate, passport, or (if applicable) information such as Form 1-515 (Alien Registration Receipt Card) or Immigration and Naturalization Service Approval notice certifying that you are a resident alien. can't get birth certificate

(1) IS	(2) DS	(3) IF	(4) DP	
☒	☐		☐	Lease agreement or mortgage statement documenting residence. Has lease agreement
☐			☐	Evidence of attendance of family members at postsecondary institutions such as registration receipts, enrollment notices, or report cards. not approp.
☐	☐		☐	Social security form 2458 documenting assistance or educational benefits (IF APPROPRIATE). not approp.
☒	☐		☐	Veterans administration award letter 8332-2A documenting assistance or educational benefits (IF APPROPRIATE). Will get veteran's letter from local office
☐			☐	Cancelled checks for unreimbursed elementary or secondary tuition (IF APPROPRIATE). This should include payment for laboratory fees, enrollment deposits or other required payments for which you have not or will not be reimbursed. not approp.
☐			☐	Tax assessment or fire insurance policy indicating home value, business and/or farm value (IF APPROPRIATE). not approp.
☐			☐	Statement of real estate, business, or farm debts (IF APPROPRIATE). not approp.
☐			☐	Public Assistance Award Titles (IF APPROPRIATE). not approp.
☒	☐	☒	☐	Copies of bank statements showing balances of all checking and savings accounts during the summer of 1977. has bank statement

NOTES
Incorrect per
1st Field Memo

Westat, Inc.

Memorandum

TO: BEOG Interviewers

DATE: February 6, 1979

FROM: J. Hicks

SUBJECT: Field Memo #3: Record keeping for non-response cases and other items.

Now that we are in the 4th week of the field period, I hope you have some indication of the level of cooperation you can expect from the respondents you have been given to contact. With only a small percentage of the field work completed, our reports show a very favorable overall response rate at this time (eighty percentile). However, the number of closed out cases is far below our prefield estimates of where we expect to be at the end of week four. Weather, location of assignments and other factors have attributed to this lower number. We hope that each of you will double your efforts in the next week or so to significantly increase the number of closed out cases. Needless to say, of those closed out, I hope the greater percentage are completes.

In order for you to keep records of cases of nonresponse (refusals, breakoffs, not at home after 3 visits, and avoidances), we've enclosed with this memorandum an Interviewer Non Response Log obviously to report nonresponses. Included with this memo are the procedures for nonresponse followup and instructions for completing the Interviewer Nonresponse Log. However, before explaining the log's use there are a few field related items I would like to draw to your attention.

- Interviewer Weekly Telephone Report

  Don't forget to write your name and ID number at the top of each report. You must also report the exact number of hours that will be on your time sheet for the week and the expected completion date of cases in your possession for the current reporting week.

- Reporting to your Supervisor

  You must call your supervisor at your designated time each week with your weekly telephone report. If you have no changes in the status of your cases to report, you must report this.

- **OMB #**

  We obtained this week the OMB number (51-S-78039) for the BEOG study. This number should be written on the inside cover page of each questionnaire in the space provided as noted below:

  Approval No. OMB 51-S-78039
  USOE - 628
  Expires: September, 1979

- **Materials to be sent to Rockville**

  Each Wednesday or Thursday, depending on when you complete your weekly report, you should enclose and send to the Rockville Office, C/O J. Hicks, the following items:

  a) Interviewer Weekly Telephone Report,

  b) Copies of all the Telephone Review Sheets you have completed during the report week,

  c) 4506 Request Form (according to the field memo of 1/23/79), and

  d) Request for Additional Field Supplies if additional supplies are needed. Due to the cost of fulfilling your supply orders, please try to be as precise as possible in estimating your supply needs for the remainder of the field period.

- **Materials to be sent to Supervisor**

  You will still send your Time and Expense report and all other completed field materials to your supervisor except for any cases for which an R/B/N was completed. These cases you will keep in your possession as per the instructions of the attached memo. (Use of Interviewer Non-Response Log).

This will now allow you to enclose all items to Rockville in one envelope and mail weekly. We will separate the various items once they are received in our office.

- Procedure for Nonresponse Followup

The Interviewer Nonresponse Log is used for reporting all refusals, breakoffs, avoidances and not at home after three visits. The interviewing materials, including the completed R/B/N for these cases, will be held in your possession until you receive further instructions. While you are holding a case, Westat-Rockville will send a letter(s) to the respondent attempting to gain their cooperation. When a letter has been mailed, we receive notification of delivery (registered mail), and the respondent indicates he/she is willing to participate, your supervisor will notify you so that an appointment for the interview can be established. Regardless of how long the case is being held in your possession, unless you receive notice from either your supervisor or the Rockville Office to contact the respondent, you should not.

In some instances it may be necessary for us to schedule a time for the interview. If this is necessary, we will attempt to set up an appointment enough in advance so that it will not conflict with any other appointments you may have established. If the respondent contacts you (either in response to one of our letters or in response to the door card you left behind on one of your prior visits) wanting to establish a time for the interview, you should go ahead and do so as long as you have the materials for the case in your possession. Immediately following the conversation with the respondent you should contact your supervisor. If you are unable to reach your supervisor, call the Rockville Office directly and ask to speak with Angela Cross. Although you should be aware of this procedure for direct communication between yourself and the respondent during the non response followup phase of the study, we expect that in the majority of the cases the respondent will contact Rockville directly, as outlined in the nonresponse letter instructions. A set of the letters that will be used in nonresponse followup will be sent to you shortly for reference purposes.

- **Instructions for Use of Interviewers Nonresponse Log**

1. This log should be completed for all refusals, break-offs, not at homes after three visits, and avoidances.
2. Interviewer Name: Enter your name.
3. Interviewer I.D. No.: Enter your identification number.
4. Region No.: Enter the region number.
5. Main body of the form:

   5.1 Respondent ID # and Name: In this space you may either enter the respondent's ID # and name, or affix a mini-label containing this information. This entry must be made everytime you have any of the field responses listed above.

   5.2 Initial Result Code: Refer to the result codes listed at the bottom of the form and enter the appropriate code.

   5.3 Held As Of: Enter the date on which an R/B/N form was completed.

   5.4 Date of Release: Enter the date that your supervisor indicates you will be allowed to put the case back into the field.

   5.5 Refield Result Code: Refer to the result codes listed at the bottom of the form and enter the appropriate code for the refield result.

5.6 **Action/Comments:** This space is to be used to record any action taken/required or comments specific to each case. Examples of comments might include "R has new address" or "R speaks only Spanish".

5.7 **Held As Of:** Enter the date on which the second R/B/N form was completed.

5.8 **Date of Release:** See Item 5.4.

5.9 **Second Refield Result Code:** See Item 5.5.

5.10 **Action/Comments:** See Item 5.6.

INTERVIEWER NONRESPONSE LOG

Interviewer Name: ______________________

Interviewer ID No.: ______________________

Region No.: ______________________

COMPLETE FOR REFUSALS, BREAKOFFS, NOT HOMES AFTER THREE VISITS, AND AVOIDANCES

Respondent ID # and Name	Initial Result Code	Held as of (Date)	Date of Release	Refield Result Code	Action/Comments:	Held as of (Date)	2nd Date of Release	2nd Refield Result Code	Action/Comments:
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	
				0				00	

RESULT CODES

1 - Complete, some documentation   2 - Complete, no documentation   3 - Refusal   4 - Breakoff   (5-Do no use)   6 - Not at home/Avoidance   7 - Other

Appendix E-2:

Field Supervisor Memos

WESTAT, Inc.

Memorandum

To: Field Supervisor

Date: January 12, 1979

From: Jim Hicks J. Hicks

Subject: Field memo #1: Weekly Reporting Schedule

Attached is a Weekly Reporting Schedule noting days of major reporting activities as well as the time for our weekly telephone conversation. Also, please note the field week no. for all forms according to the attached Field Week Schedule.

Westat, Inc.

Memorandum

TO: Field Supervisors

DATE: ~~2~~1/16/79

Field memo #2

FROM: J. Ter Maat

SUBJECT: Field Edit Procedures

Attached are the long awaited field edit procedures. As discussed, the SER comparison and respondent recontact duties have been shifted to the home office. The field edit, however, remains as the primary means by which you can assess the performance of your interviewers and provide them with timely criticism. In addition, you may be called upon by me to help resolve certain problems that Westat coders may have with certain particular cases.

All edited cases should be mailed to the home office, (Attention: M. Usher) every Tuesday by first class mail. Enclosed you will find billing forwarding labels that should be affixed to the box or padded envelop you use. You will not have to "front" any postage money if you use these labels. (Guard them with your life). It will not be necessary to insure the packages.

Field Edit

The field edit is the systematic review of completed questionnaires by a field supervisor or editor for the purpose of determining the overall quality of an interviewer's work. Interviewers will be given evaluative feedback on an ongoing basis by supervisors in order that high quality data may be obtained. A more complete edit, data retrieval, and all validation activities will be conducted by the home office.

The first five cases of every interviewer are "totally" edited. That is, every entry and question is checked for completeness and legibility. Thereafter, cases are "scan edited." This means that only key questions and specific sections of the questionnaire are reviewed for errors.

An editor completes an Edit Sheet for each of the first five cases edited per interview. (See attachment). Thereafter, Edit Sheets are completed for scan edits whenever the supervisor or editor determines that the results of the edit should be brought to the attention of the interviewer. Two copies of the Edit Sheet should be made, using the carbon paper you have been given. A copy of the sheet is forwarded to the interviewer and one is kept in the supervisor's file.

General Edit Rules - Total and Scan Edit

The editor reviews the questionnaire for completeness, consistency, and legibility. The following are general rules which should be observed during the total and scan edit.

1. All entries made by the editor should be made in green pen.

2. Check that code number categories are circled neatly and not overlapping other possible codes.
3. Check for any illegible recorded verbatim or "amount" entries.
4. Pay careful attention to interviewer's handling of skip patterns, especially in the grids.
5. Check that if "Other - specify" is coded, something is specified.
6. Check that all open-ended questions and "don't knows" have been sufficiently probed.
7. Check that the correct portions of the questionnaire have been administered for the respondent type.

While all cases will be totally edited by the home office, editors should place a green check mark (✓) by any question which appears to be omitted, extraneous, inconsistent or involved in any other error. This will help you reconstruct interview errors, as well as flag an error for the home office.

Supervisors may not attempt to enter data for totally omitted questions. However, ambiguous entries may be clarified by consultation with the interviewer, and corrected in green pen.

Total Edit

The first five cases completed by every interviewer are totally edited. A total edit involves a total review of the call record and questionnaire for completeness. The primary purpose of this edit is to determine whether the interviewers understands the principles of the questionnaire and is completing quality work. Every error detected during this edit is reported on Edit Sheets. Field supervisors should discuss the results of these edits with the interviewer immediately if they reveal that an interviewer is having a particular problem. A field supervisor may decide to increase the total edit sample if the results indicate that an interviewer is continuing to have difficulty in certain areas.

Scan Edit

All completed cases not selected for total edit are scan edited. The primary purpose of this edit is to guarantee that interviewers are not systematically missing information which is crucial to the study. Any problems detected by this edit should be immediately brought to the attention of the interviewer. The checks to be performed during the scan edit are listed below:

Respondent Types		Make Following Checks
All	Item	Check
	Call Record	-Assignment record completed -Address verification for other R of set -Contact attempts recorded
	Cover Questionnaire	-Label affixed -Assignment recorded completed
	Begin Section A	-Time entry
	A2	-If R indicates any application forms, the A-3 through A-9 sections should be completed correctly
	All	-Check for a probed response which is relevant, specific, and complete.

Respondent Types		Make Following Checks
All	Item	Check
	A20	-Check for a probed response which is relevant, specific, and complete
	Box 10 -	-Time ended -Recontact time -Social Security Number entered
Independent Student		-Check that B-10 through B-64 sections of questionnaire are completed -Check that interviewer is correctly recording grid Q's A, B, C, and D -If B-24 = 1, check for complete tax data related entries in Q's B-25 through B-31. If tax form was filed, check for indication that IRS copy or non-IRS copy consulted during the interview -If B-47 = 1, check any non-taxable income amount entry in Q's B-48 through B-57 for completeness -Check any "other" current document source coded, "comments" or notes to the office to determine whether the interviewer is reviewing respondent documents correctly
Dependent Student		-Check that B-10 through B-20 and B-61 through B-64 of the questionnaire are completed -Check that interviewer is correctly recording grid Q's A, B, C, and D -Check that the Box 8 skip was correctly handled. (If the DS skips to B-22, use IS edit guidelines)

Dependent Student	-Check any "Other" current document source coded, "comments" or notes to the office to determine whether the interviewer is reviewing respondent documents correctly
Dependent Parents	-Check that the B-1 through B-10 and the B-21 through B-60 sections of the questionnaire are completed -Check that the interviewer is correctly recording grid Q's A, B, C, and D -If B-24 = 1, check for complete tax data related entries in Q's B-25 through B-31. If tax form was filed, check for an indication that a IRS or non-IRS copy was consulted during the interview -If B-47 = 1, check for any nontaxable income amount entry in Q's B-48 through B-57 for completeness -Check any "other" current document source coded, comments, or notes to the office to determine whether the interviewer is reviewing respondent documents correctly
Independent Parents	- Check that the B-1 through B-9 section of the questionnaire is completed -Check that the interviewer is correctly recording grid Q's A, B, C, amd D -Check that the box 7 skip was correctly handled. (If the IP skips to B-21, use DP edit guidelines.) -If a tax form was filed, check for a indication that IRS or non IRS copy was consulted during the interview

Independent Parents	-Check any "other" current document source coded, comments, or notes to the office to determine whether the interviewer is reviewing respondent documents correctly

EDIT SHEET

CASE ID____________________ COMPLETION DATE__________

INTERVIEWER____________________ EDIT DATE__________

☐ TOTAL EDIT OR ☐ SCAN EDIT

COMMENTS

USE OF GRIDS____________________

HANDLING OF DOCUMENTATION____________________

PROBING____________________

DATA RECORDING (Questionnaires, Call Record, TRS, Etc.)____________________

HANDLING SKIP PATTERNS____________________

OTHER/COMMENTS____________________

ESTAT, Inc.

Memorandum

To: BEOG Supervisors **Date:** January 17, 1979

From: Jim Ter Maat **Subject:** Field Memo #3; Transfer of Cases

Transfer of cases from one site to another will be necessary whenever respondents (usually parent) turn up in other regions. New addresses can be discovered in one of two ways.

By interviewer or supervisor: If this occurs, the following should be done:

1) The supervisor should telephone the case ID and address information to the home office.

2) The home office will immediately generate new call records and forward them to the "new" field supervisor. Attached will be a site transfer form indicating the old and new address.

3) The home office will forward a copy of the site transfer to the supervisor to inform him/her that the switch has been made.

4) The old supervisor should send the case to the office with the next shipment. The case should be given a result code of "8". Appropriate log entries should be made.

By the home office: If this occurs, the following should be done:

1) The home office will immediately generate new call records and forward them to the "new" field supervisor. Attached will be a site transfer form indicating the old and new address.

2) The old supervisor will be sent a site transfer form indicating that an identical case has been fielded in another region. This will be his/her cue to recall the case from the field and assign result code "8". Appropriate log entries should be made and the case forwarded to the home office.

If it becomes necessary to shuffle assignments within a supervisor's area, this should be done through the supervisor.

Westat, Inc.

Memorandum

TO: BEOG Supervisors **DATE:** January 18, 1979

FROM: Jim Ter Maat **SUBJECT:** Registrar~~/FAO Contact~~

Interviewers may contact registrars or Financial Aid Officers if it is thought that institutional records may contain an updated parent or student address. Interviewers can only make this contact after the field supervisor has made a preliminary contact with the registrar/FAO. The purpose of this preliminary contact is to re-acquaint the school representative with the study (in some cases, introduce the study) and to inform them that interviewers may be making subsequent contacts.

Attached are copies of all the informational sheets we have for the registrars and FAOs in your region. For some schools, contact information exists for both the registrar and FAO. In most cases, the registrar will have easiest access to student/parent address information. Also attached is a copy of the advance letter that was sent to registrars and FAOs in October, 1978 Use the information contained in the letter to provide institution personnel with background information about the study and its legitimacy.

Interviewers should contact their supervisor whenever they suspect that an institution can provide addresses/phone numbers that will help them. There are limits to the usefulness of institutional information:

- It is unlikely that their records can improve on the information we have for an existing address. For example, if a telephone number was missing originally from the information the schools gave us for the generation of the Call Record it is unlikely that it would be present now.
- Most often, address changes will only be recorded by the school when a student completely changes residence. It is less likely that parent address changes would be recorded by the school.

After supervisors have successfully paved the way for interview contact, supervisors should provide interviewers with the phone numbers of the institutional contact person. Of course, if the workload permits, supervisors may want to handle certain address requests by themselves.

Westat, Inc.

Memorandum

TO: BEOG Supervisors **DATE:** 1/25/79

FROM: J. Hicks **SUBJECT:** Field Supervisor Memo #4: Use of Escorts and Interpreters

On a few occasions in certain areas it may be necessary for interviewers to seek the services of an interpreter or to compensate a resident for escorting them to and from a respondent's household. For the majority of the households they are required to contact, this will not be necessary. However, the discussion and procedures for employing escorts and interpreters which follow is provided in the event that such a need arises.

Escorts

Escorts are to be used only when prior approval has been given by the supervisor. This is necessary because you may be able to suggest a way of completing the case without an escort, such as doing it over the weekend, or transferring the interview to someone else who is more familiar and at ease in the area. For this survey the interviewer should know in advance the type of neighborhood s/he will be interviewing in. However, if a circumstance arises that requires the interviewer to obtain an escort without prior approval, s/he will be reimbursed for this escort if just cause is shown for the use of one.

If an escort is employed, the interviewer is responsible for minimizing the effects of the escort on the interview situation. Just as all interviewers are trained to interview in a neutral way, so must escorts be instructed by the interviewer to behave in such a way that there will be no effect on the answers obtained from the respondent. The following is a quideline in using escorts.

- If possible, an escort should wait for the interviewer outside the dwelling unit.
- If if is necessary for the escort to accompany the interviewer into the dwelling unit, s/he should try to have the escort sit in a separate room. The escort should always have a book or magazine along so that he will not become impatient and so that the respondent will notice that the escort is concerned with reading and not in listening to responses. Incidentally, if the title

on the reading matter is visible, it should be something that is not on a controversial or emotion-provoking topic. Anything that is controversial could be biasing for the interview.

- If a separate room is not available, the interviewer should try to have the escort sit in a different part of the room. Only if absolutely necessary should the escort sit around the table or area of the room in which the interview is being conducted. Wherever s/he is, s/he should be reading whatever literature s/he has brought along.
- The escort must not make any remarks during the interview. S/he must show no reaction to any of the answers s/he hears.
- Of course, the interviewer must instruct the escort on the necessity of keeping confidential all information that s/he hears.

Whenever an escort is employed, a receipt, signed by the escort, must be obtained noting the rate of pay, the address and social security number of the escort. Escorts are paid the minimum hourly rate required by State law of the area where the interviewer is interviewing. Payment for the escort will be included in the interviewer's payroll check after the interview is completed, therefore, the interviewer is responsible for reimbursing the escort. Any necessary expense for the escort's transportation to and from an area should be included with the interviewers' expenses. S/he should always attempt to use as an escort someone who resides in the locale where you are interviewing.

Interpreters

Interpreters are to be used only when an interviewer is unable to communicate with the respondent in English. The use of household members who will not expect compensation for providing interpretation should always be used first. Whenever employing non-resident interpreters, the interviewer must contact you first since you must give approval or may be able to suggest an alternative solution. If you are unable to assist by providing an alternative solution, then the following sources may be used by the interviewer in identifying possible sources for interpreters.

- The name and address of churches that are located in an area where a language other than English dominates.

- The name and address of medical clinics or civic organizations located in the area.

- The name of a college or university located in the immediate interviewing area.

- The name of radio stations or any of the print media that publish in any language other than English in the vicinity.

The same procedure that applies for employing an escort also applies for interpreters. However, the rate of pay is $3.25 an hour plus .15 cents a mile if his/her own car is used. If an interpreter is used a receipt must be obtained providing the same information as that requested from an escort.

Westat, Inc.

Memorandum

TO: BEOG Supervisors

DATE: 1/24/79

FROM: J. Hicks

SUBJECT: Field Memo ~~#3~~ 5: BEOG Field Procedure Policies

The attached form will be used in documenting field problems and for providing the decisions on how to handle them. Within 48 hours of the request, we will telephone the supervisor who made the request with the resolution. All others will receive distribution of the policies twice a week.

In providing our office with information about a case, please obtain as much information as possible. This, we hope, will allow us to establish policy that affects more than one specific case.

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date:

From:

No:

Subject:

Page ________ of ________

Requested by:

Description of Problem:

Provided by:

Solution:

Consulted:

CC: D. Iwamoto
D. Rogers
J. Hicks
J. Ter Maat
A. Cross
D. Walsh
BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date:

From:

No:

Page __________of__________

Requested by:

Date:

Re:

Description of Problem:

Provided by:

Date:

Resolution:

Case specific ( )
General Rule ( )

( ) Rockville Follow up

( ) Supervisor Follow up

Consulted at OE:

Date:

cc: ( ) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

WESTAT, Inc.

Memorandum

To: BEOG Supervisors

Date: February 2, 1979

From: J. Hicks

Subject: Field Memo ~~#3~~ #6 :
Additional Record
Keeping Forms

Enclosed in this package are additional record keeping forms which we hope will aid in reducing the burden of weekly reporting. Please review the instructions for completing each of the forms and call me if you have any questions. We have also enclosed a copy of the form sent to interviewers for reporting nonresponse cases. You should plan to review the completion of this form with each of your interviewers.

Subject: Use of "Supervisor's Record of Interviewer Assignment"

Date: 2/2/79

No:

Page 1 of 2

1. For the most part, your assignment of cases to interviewers have been completed. Hence if, (as some have requested) a record of assignments per interviewer, this form should be used.

SUPERVISOR RECORD OF INTERVIEWER ASSIGNMENT

AFFIX INTERVIEWER LABEL HERE

Name: ____________________

Address:. ____________________

____

Telephone No.: (   ) __________

Record No.: ______ of ______

Field Week No.: __________

Date: __________

Interviewer ID No.: __________

Respondent Information	Date Assigned	Date Returned	Result Code
1. LAST NAME __________ ID NUMBER: __________			
2. LAST NAME __________ ID NUMBER: __________			
3. LAST NAME __________ ID NUMBER: __________			
4. LAST NAME: __________ ID NUMBER: __________			
5. LAST NAME __________ ID NUMBER: __________			
6. LAST NAME __________ ID NUMBER: __________			
7. LAST NAME __________ ID NUMBER: __________			
8. LAST NAME __________ ID NUMBER: __________			
9. LAST NAME __________ ID NUMBER: __________			
10. LAST NAME __________ ID NUMBER: __________			

Subject: Instructions for Completing "Supervisor's Transmittal Record"

Date: 2/2/79

No:

Page 1 of 2

1. The Supervisor's Transmittal Record is provided as a record for indicating the cases that are being transmitted to the Rockville office. Using a sheet of carbon paper, complete and send the original and read the carbon for your files.

2. Top of Record: Complete for the first form only, per each transmittal, the information contained in the black bordered area. For all subsequent records per each transmittal you need only enter specific case information.

3. Respondent ID: Use only the Interviewer Transmittal Record for entering the respondent ID if the interviewer has affixed labels for transmitting cases. If they did not, enter the ID from the Call Record Folder since the interviewer could have transferred the ID number incorrectly.

4. Interviewer ID: Enter ID of interviewer for the first entry and then for each subsequent entry for that interviewer use ditto (") marks to indicate that the case was completed by the same interviewer as noted above.

   Date Sent: Enter exact date you are sending the cases.

   Comments: This space is provided to make any comments about the case you want to inform us about.

   Office Use: Please do not make any entries in this area.

Subject: Supervisor Instructions
for Weekly Review of Interviewer
Telephone Reporting Log.

Date: 2/2/79

No:

Page 1 of 2

1. The following are changes and/or clarifications for completing the "Weekly Telephone Reporting Log." When completing the weekly report with the interviewer, you should use the formula on the attached example to ascertain how many cases are currently in the field and verify this total with the interviewer.

Changes/Clarification

"Number not home after 3 visits": This section should also include all avoidance cases.

"Number of Other": This section should not include any cases which can still be worked on in the near future such as "R has the flu," "R temporarily out of the country", etc.

Attached is an example of a completed Interviewer Weekly Telephone Reporting Log Sheet. Letters have been added to the left of each category to provide a formula for verifying with the interviewer how many cases are currently in the field (unfinalized).

On the attached example there are five cases being worked on. This figure is arrived at as follows:

Total number of cases assigned to date	= 28
Minus number of cases closed out	- 13
Minus total number of cases returned to supervisor before this week	- 10
Equals number of cases currently in the field	5

INTERVIEWER WEEKLY TELEPHONE REPORTING LOG

– EXAMPLE —

Reporting Week No.: 4 Region No.: 6 State No.:

A–B–F = Cases Currently in field 28–13–10 = 5	WEEK ENDING Wednesday, 2 / 7 Month Day
A Total number of cases assigned to date	28
B Number of cases closed out:	13
1• Number of complete, some documentation	3
2• Number of complete, no documentation	4
3• Number not home after 3 visits	3 (includes 1 avoidance)
4• Number of refusals	1
5• Number of breakoffs	0
6• Number of "other"	2 (1 deceased, 1 term. ill)
C Number of cases sent to supervisor	8
D Number of hours worked last week	32.5
E Expected completion date of cases currently assigned	2/9/79
F Total number of cases returned to Supervisor before this week	10

Field Director (White) Supervisor (Canary) Interviewer (Pink)

Subject: Supervisor Instructions for Completing the "Supervisor Non Response Record."

Date: 2/2/79

No:

Page 1 of 3

1. This record is to be completed everytime a Refusal/Breakoff/Non-Interview Form is completed. The day following notification from an interviewer of a non response, you should telephone A. Cross in Rockville to report this. All completed records should be mailed to Rockville with other materials at week's end. Entries possibly requiring further explanation are as follows:

2. Action/Comments: Use this space to enter such items as "new address for R is ......", "appointment had been made, but R was not home at specified time", etc.

3. To complete "Calls To Date" section: Using the call record for this case, enter a mark in each appropriate section for calls recorded. Use the letter T to indicate contact was attempted by telephone; P to indicate contact was attempted in person.

Example: Call record indicates the following calls were made:

January 5, Friday	4:30 p.m./telephone
January 8, Monday	7:00 p.m./in person
January 10, Wednesday	1:00 p.m./in person
January 13, Saturday	10:00 a.m./in person

The "Calls Made to Date" Section for this example should appear as follows:

CALLS MADE TO DATE (Tally) T = Telephone; P = In-person

	Thurs.	Fri.	Sat.	Sun.	Mon.	Tues.	Wed.
A.M. Before Noon			P				
P.M. Before 5:00		T					P
P.M. After 5:00					P		

3. (Continued)
To meet the requirements of "Not at home after three visits" there must be at least one "P" entered in each of the three different shadings (i.e., one "P" in the white area, one "P" in the medium shading, and one "P" in the dark shaded area). After the interviewer has given you the calls (day and time) made on each case, check to see if they meet the requirements of a "Not at Home after three visits."

Subject: Use of Supervisor
Weekly Telephone Log on
Reporting Cases assigned
to his/her region.

Date: 2/2/79

Page 1 of 3

No:

1. This log is to be completed weekly on reporting day by each Supervisor as part of the weekly reporting process. This form is to be completed in two parts: page 1 will list results for thirteen interviewers with the final column being used for totals; page 2 will list any remaining interviewers (be sure to include these results in the total column on page 1).

2. Complete the top section by entering the "Region Number", Date, and page number.

3. Main body of the form is completed as follows:

    3.1 Interviewer ID #": enter the ID # of all interviewers reporting to you (regardless of whether work was turned in). If an interviewer has quit, didn't work this week, or some similar problem, enter the appropriate "Interviewer Code" (found at the bottom of the form) immediately after the interviewer's ID #.

    3.2 "Number of cases held by supervisor": These are cases you have received prefield from Rockville which are not yet officially transferred to the interviewer.

    3.3 "Number of cases in route to interviewer to date": These are cases which have been mailed to the interviewer, but which the interviewer has not yet received (they are not accounted for on the Interviewers Weekly Telephone Log). Make certain that any cases recorded in this category were not accounted for in the interviewer's totals.

    3.4 "Number of cases assigned to date": This information is received by phone from the interviewer. Be sure to verify it with your records.

3.5 "Number of appointments": This information is received by phone from the interviewer. They will obtain this figure by counting the first number of Code "5" from their Call Record Folders for the week.

3.6 "Number of closed out": All subcategories in this section are received by phone from the interviewer. Any "avoidances" he/she accounts for should be included with "Number not home after 3 visits/avoidance". "Number of other" needs to be broken down into "other/ still eligible" and "other/ineligible". This break down will be done with the interviewer by phone. Use the "Case Codes" listed at the bottom of the form to indicate what types of "other results" are being included.

3.7 "Number of hours worked last week": This information is received by phone from the interviewer.

3.8 "Total number of cases returned to supervisor before this week": This information is received by phone from the interviewer. Be sure to verify it with your records.

3.9 "Expected completion date": This information is received by phone from the interviewer.

3.10 "Number sent to Rockville": These are post-field cases you have mailed to Rockville. This should be a cumulative figure.

3.11 Interviewer and Case Codes: These codes are provided for you to easily note during your conversation with the interviewer comments about the case or the interviewers performance.

Westat, Inc.

Memorandum

TO: BEOG Supervisors

DATE: 2/8/79

FROM: J. Ter Maat

SUBJECT: 7
Supervisors Memo #4:
Cases in Outlying
Areas

Attached is a listing of those cases you reported to me as being in areas which cannot be readily and economically reached by your interviewers. The list includes cases you are holding, as well as those being held by interviewers. Due to new assignments, I'm sure this list is not all inclusive. Please compare the list with cases you and your interviewers are holding and report to me any additional outlying candidates. This is essential in order that the home office can begin to estimate the cost of conducting these interviews.

Reporting a case as an outlyer does not mean work on that case must necessarily stop. For example, some of Elaine's outlyers are within 60 miles of Bill's interviewers. Elaine is therefore, transferring those cases to Bill. (More on that later). Also, if a cluster of outlyers pops out within 75 - 100 miles of an interviewer and that interviewer has exhausted his other workload, a carefully co-ordinated sweep may be designed to pick-up those cases in a cost effective manner. It will be left to you and the interviewer to coordinate this effort. However, plans involving overnight stays should still be reported to the home office.

Student Addresses

During the process of checking the outlying cases you reported, I noticed a number of dependent students that lived with their parents in a location that would make it impossible for them to attend the school they are listed at. These students probably gave their permanent home addresses to the registrar but now reside near the college.

Examine your and your interviewers' cases and report the ID's of those students you suspect may have their own address to Angela Cross. She will call the school registrar for address updates. (As mentioned previously, all school registrar contacts will now be made through the home office.)

Transfer of Cases

Transfer of cases you discover to have new addresses outside of your region should take place per my 1/17/79 memo to you. Transfer of cases to different regions due to considerations of proximity (with no address change) should be done as follows:

- The new region supervisor should consider the cases to be "new assignments".
- The old region supervisor should eliminate the cases from his/her report.
- A case transmittal should be sent with the cases, a copy kept by the old supervisor, and a copy forwarded to me.

And finally, at the risk of sounding hopelessly corny, I must say it is a great pleasure working with each of you.

Westat, Inc.

Memorandum

TO: All B.E.O.G. Regional Supervisors

DATE: March 20, 1979

FROM: Angela Cross AJC

Field mem #9;

SUBJECT: Interviewer Evaluations

We are coming to the end of the field period on the B.E.O.G. Quality Control Survey and each day we have interviewers phasing out of the study. While it is still fresh in your minds, I would like to have evaluations completed on each of your interviewers as they phase out of the project, and on your editors/clerks as well. For your benefit, I have attached copies of three pages from The Westat Manual on Interviewer Files. These pages outline the procedures for completion of interviewer evaluations.

I also need to have evaluations for those interviewers in your region who terminated earlier in the field period, whether they actually worked on the project or not. Information on those persons helps us keep our file of interviewers current in every aspect.

While the completion of interviewer evaluations is very important, it should not interfere with other ongoing project business, therefore, I am requesting return of all completed evaluations by April 25, 1979. This will give you approximately 4½ weeks to work on them. If you have any questions, give me a call.

Interviewer Form B: Project Evaluation

Form B is for project evaluations. This form allows for rating the interviewer on several dimensions of the job(s) s/he performed on a particular project. This form should be completed as soon as possible after the person's job has ended; this may be when an interviewer doesn't show up for training, is dismissed or quits. Project evaluations should be turned in to a staff member in the File Room. If this is done on a timely basis, the system cna be updated and the next recruiter will be aware of the interviewer's most current performance. Evaluations are retained on the computerized file for every project an interviewer worked on. A new evaluation does not delete other project evaluations but, rather, is added to the file.

Ordinarily, a single evaluation would be completed for each interviewer. However, a situation which might warrant a second evaluation is if an interviewer has come into regular contact with more than one project staff member during the course of a study, and both staff members feel they want to evaluate the person's performance.

The form is fairly simple to complete and some brief instructions have been included on a copy of the form shown on page 15. Some additional points on completing the forms are noted below.

Evaluation. There are three evaluation items - Productivity, Accuracy, Cooperation/Dependability. Each should be rated on a 1 to 5 scale, with 1 being "poor" and 5 being "excellent."

- Productivity should be rated based on the completion of the expected case load. Any additional assignment completions and "mop up" work would strengthen the rating.

- Accuracy speaks to both the quality of the person's work as well as to the satisfactory validation of the completed assignment.
- Cooperation/dependability should encompass the person's working relationship with supervisors and others, willingness to handle workload and dependability in finishing work on time, calling in with progress reports, etc.

Summary Evaluation. The summary evaluation is intended to trigger a "use" or "don't use" flag on Form A. In updating the file this summary will always be checked against the current "use," "don't use" status, and changes made when appropriate.

Length of Time on Project. This is to indicate the actual time the field person worked on the project. If the person performed more than one task, the total time worked is to be entered.

Reason for Termination. If there was a temporary break in employment, for some reason, and then the person began working again in the same capacity, code the reason for termination for the final termination date. If the person was promoted, but still worked on the project, you would indicate the termination date and then do a second evaluation on the position the person was promoted to. The primary example of this occurrence would probably be in a shift from interviewer to supervisor.

Termination Date. Enter the month and year person stopped working on the project in a field-related capacity. If the person was promoted, but still worked on the project in a field-related capacity, you would indicate the termination date for the task being evaluated.

Comments. Any additional comments on the interviewers. Write your abbreviated comments in the specified boxes leaving a space between each word. If you would like to write any additional comments feel free to do so. They will remain on the evaluation sheet which becomes a part of the manual file.

Write in the name, State and county of the interviewer

Interviewer Name ____________________

State ______________ County ______________

INTERVIEWER FORM 3: PROJECT EVALUATION

DO NOT write in these boxes

Enter project name or abbreviation

Enter the usual hourly rate

Enter the last name of rater

OFFICE USE ONLY				
☐☐☐☐☐	☐	B E O G ☐☐	☐☐☐.☐☐	☐☐☐☐☐☐☐☐☐☐
(1-5) I.D. No.	(6) Card No.	(7-12) Project Name	(13-17) Hourly Pay Rate	(18-27) Raters Last Name

Evaluation

ect

egory

Primary Task (28) CIRCLE ONE	Productivity (29) Poor → Excellent	Accuracy (30) Poor → Excellent	Cooperation/ Dependability (31) Poor → Excellent
1 Telephone Int.	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
2 Executive Int.	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
3 Int. by Apt.	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
4 Door-to-Door	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
5 Listing/Screening	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
6 Recruiting	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
7 Med. Abstracting	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
8 Sup./Ass't. Sup.	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
9 Other (SPECIFY) Editor Office clerk	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5

Select a rating of 1 to 5 for each of the three categorie

Such as clean up interviewing or trouble shooting

Evaluation

(no
ondary
k, leave
nk

ect

egory

Secondary Task (32) CIRCLE ONE	Productivity (33) Poor → Excellent	Accuracy (34) Poor → Excellent	Cooperation/ Dependability (35) Poor → Excellent
1 Telephone Int.	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
2 Executive Int.	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
3 Int. by Apt.	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
4 Door-to-Door	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
5 Listing/Screening	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
6 Recruiting	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
7 Med. Abstracting	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
8 Sup./Ass't. Sup.	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
9 Other (SPECIFY)	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5

Select a rating of 1 to 5 for each of the three categorie

Circle one category

Summary Evaluation (36)

CIRCLE ONE

1 I would use this person again without reservations
2 I would use this person again with some reservations
3 I would have serious reservations about using this person again
4 This person falsified interviews or was otherwise dishonest in his/her dealings with us

code will
r a "don't
n Form A.

code 4 is given, Explain fully in a comments attachment.

Circle one category

Length of Time on Project (37)

CIRCLE ONE

1 Less than 1 month
2 1 - 3 months
3 3 - 6 months
4 6 months - 1 year
5 More than 1 year

If unable to select codes "1" thru "6", code "7" and specify. Manual files will have to be checked for reasons for code "7

Reason for Termination (38)

CIRCLE ONE

1 Promoted
2 Work completed
3 Illness/personal problems
4 No Show
5 Quit
6 Released for Poor Performance
7 Other (SPECIFY) ________

☐☐☐☐ (39-42)
Mo. / Yr.
Termination Date

Enter the month and year.

Comments ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (43-80)

Enter comments. All comments are considered helpful. If a person given a Summary Evaluation of "2" or "3", comments are really needed. Space below the boxes or reverse side of page can be

Appendix E-3:

Field Procedure Policy Changes

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓) Date: 1/24/79

From: J. Hicks No: 001

Subject: Field Problem - General Page 1 of 1

Requested by: D. Walsh

Description of Problem: Respondent has graduated or left institution in which he was enrolled and moved away from location of institution. Do we track the respondent and conduct the interview?

Provided by: J. Hicks

Solution: Yes, attempt to obtain the student's new address and conduct parent interview.

Consulted: D. Iwamoto 1/24/79

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓) Date: 1/24/79

From: J. HIcks No: 002

Subject: Field Problem - General Page 1 of 1

Requested by: L. Davson

Description of Problem: Respondent applied for BEOG grant, received SER, but never enrolled in institution. Do we attempt to conduct the interview?

Provided by: J. Hicks

Solution: First find out if the student is enrolled elsewhere. If so, obtain the name, address of institution. If the student is not enrolled elsewhere, give it a code "7", ineligible, and return the case to Rockville.

Consulted: D. Iwamoto 1/24/79

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓)
Date: 1/24/79

From: J. Hicks
No: 003

Subject: Field Problem - Specific
Page 1 of 1

Requested by: T. Dubanoski

Description of Problem: Interviewer made telephone contact with Bespondent A who was parent of a dependent student according to our files. Interviewer made contact with Respondent B, who according to our records, is an independent student. We eventually discovered that Respondent A and B were the same person with different telephone numbers. We are ascertaining whether they have the same address. Should the interview be conducted at this time?

Provided by: J. Hicks

Solution: Yes, please inform of outcome.

Consulted: D. Iwamoto 1/24/79

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓)
Date: 1/24/79

From: J. Hicks
No: 004

Subject: Field Problem - General
Page 1 of 1

Requested by: F. Eldrege

Description of Problem: We have an independent student whose parent's name was supplied by the institution where the student is enrolled. The interviewer discovered when making contact that one person named as R's parent was not. Should we ask R the name of the parent since they may have misunderstood instructions for the BEOG application and supplied the incorrect name? If this fails, should we contact the registrar's office at the institution to find out if they were ever given a parent's name?

Provided by: J. Hicks

Solution: Yes, proceed with both.

Consulted: D. Iwamoto 1/24/79

495

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓)

Date: 1/24/79

From: J. Hicks

No: 005

Subject: Field Problem - General

Page 1 of 1

Requested by: F. Eldrege

Description of Problem: R. speaks language other than English and there are no interviewer translators available in this language. The only option available is to have a family member interpret. This may mean that at times a student will be interviewed and then serve as interpreter for the parent interview. Please advise.

Provided by: J. Hicks

Solution: Go ahead and have the student conduct the interview.

Consulted: D. Iwamoto 1/24/79

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓) Date: 1/25/79

From: J. Hicks No: 006

Subject: Field Problem - General Page 1 of 1

Requested by: L. Davson

Description of Problem: R owns a farm. The income reported is for both house and farm properties. When asked Q. B-35, R could not break out the cost of the home alone even with the qualifier: "at the time you signed the application." For both questions B-35 and B-45 (house and farm) the R provided the same figure. If the same figure was provided for both questions at the time the application was completed, do we accept one figure for both questions now? Or, do you want an estimate, assuming we can obtain one, of the cost of the separate properties?

Provided by: J. Hicks

Solution: Obtain exactly as provided at the time the application was signed. If R provided separate figures on the application obtain separate figures for the interview. The same holds true if an aggregated figure was provided.

Supervisor: If the figure is the same a note should be entered in the comments section for each question: "Same Figure as B-45."

Consulted: D. Iwamoto 1/25/79

CC:
D. Iwamoto
D. Rogers
J. Hicks
J. Ter Maat
A. Cross
D. Walsh
BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓)
Date: 1/25/79

From: J. Hicks
No: 007

Subject: Field Problem - General
Page 1 of 1

Requested by: L. Davson

Description of Problem: Re: A-21 in the questionnaire. The parent has not taken out a loan to finance the student's education. However, the student has obtained a loan. We have assumed that if one parent obtained a loan for the student but is not the parent we are interviewing, we would still obtain the amount of the loan. And if neither parent had obtained a loan for the student, the response to A-21 would be "none". If the student obtained the loan, we would obtain the amount at the time of the student interview. Is this procedure satisfactory?

Provided by: J. Hicks

Solution: Procedure as outlined is correct.

Consulted: D. Iwamoto 1/25/79

CC:
- D. Iwamoto
- D. Rogers
- J. Hicks
- J. Ter Maat
- A. Cross
- D. Walsh
- BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓) Date: 1/25/79

From: J. Hicks No: 008

Subject: Field Problem - General Page 1 of 1

Requested by: T. Dubanoski

[illegible]

Description of Problem: Interviewer contacted a dependent parent who informed her that originally the student did receive BEOG funds, however, is no longer enrolled in school or receiving funds. Parent feels it is not necessary for her to participate. Are we to attempt to conduct interviews with both the student and the parent? If they refuse to participate will they be treated as regular refusal cases?

Provided by: J. Hicks

Solution: Yes, attempt to conduct both interviews and if they refuse, treat them the same as a regular refusal case. Also we would like to have some record of all students who are no longer enrolled or receiving funds.

Consulted: D. Iwamoto 1/25/79

CC: D. Iwamoto
D. Rogers
J. Hicks
J. Ter Maat
A. Cross
D. Walsh
BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓)
Date: 1/25/79

From: J. Hicks
No: 009

Subject: Field Problem - General
Page 1 of 1

Requested by: T. Dubanoski

Description of Problem: Student was receiving BEOG funds but is no longer enrolled in school. A request for repayment has been made but the interviewer does not know who made the request. If a request has been made for the student to repay all of the grant and the student does, is he still required to participate? Please advise.

Provided by: J. Hicks

Solution: Attempt to interview both students and parents even if the student enrolled in school, received grant, dropped out of school and for some reason was required to pay either some or all of the funds received.

Consulted: D. Iwamoto 1/25/79

CC:
D. Iwamoto
D. Rogers
J. Hicks
J. Ter Maat
A. Cross
D. Walsh
BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)
BEOG Supervisors (✓)

Date: 1/25/79

From: J. Hicks

No: 010

Subject: Field Problem - General

Page 1 of 1

Requested by: L. Davson

Description of Problem: This problem is similar to #007 and may require a general rule for determining questions which obtain a response for a household versus those that are geared toward a specific respondent. For example, B-50 asks about Social Security benefits. The parent respondent that answered the question said they did not receive benefits, however, the spouse of the respondent does receive. In regards to this question, do we want to know if just the responding parent receives benefits or if either of the parents receives? In general, for questions of this nature, should we accept as an acceptable response information for both parents even though we are talking to only one, or do we accept information for just a specific respondent?

Provided by: J. Hicks

Solution: If it is a two parent household or if there are two independent maried students we are interested in obtaining information for the household. That is, in the above situation the interviewer would obtain the amount of benefits received by one of the parents even though the parent is not the respondent. When the application was completed both parent's benefits and married student's benefits were included so we need to obtain the same information during the interview.

Consulted: D Iwamoto 1/25/79

CC: D. Iwamoto
D. Rogers
J. Hicks
J. Ter Maat
A. Cross
D. Walsh
BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (x)

Date: 2/8/79

From: J. Hicks

No: 011

Page 1 of 1

Requested by: L. Davson, J. Salk

Date:

Re:

Description of Problem: We have been informed by a number of respondents that their parents are either deceased, unlocatable or ill. Concerning deceased, do we accept the students word? In regards to unlocatable or ill parents, do we attempt to contact the parent to confirm what the student has reported is true? And if we are to contact the parent, should this depend on whether the parent's participation is required?

Provided by: J. Hicks

Date: 2/3/79

Resolution: In regards to the deceased and unlocatable parents close out the case and do not attempt to confirm what the student has reported as being true. Concerning parents that are ill whether it is a single parent household or a two parent one wait until the end of the field period and then recontact. The type of participation requirement is really not an issue.

Case specific ( )
General Rule (✓)

( ) Rockville Follow up (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto Date: 1/31/79

cc:
- (✓) All
- ( ) D. Iwamoto
- ( ) D. Rogers
- ( ) J. Hicks
- ( ) J. Ter Maat
- ( ) A. Cross
- ( ) D. Walsh
- ( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (x)

Date: 2/8/79

From: J. Hicks

No: 012

Page 1 of 2

Requested by: L. Davson

Date:

Re:

Description of Problem: We contacted an independent student without any address for the parent. The address we finally obtained was that of the aunt. According to the student she has not lived with either parent recently and doesn't even know of the whereabouts of the mother. R provided the aunt's address as that of the "parent/guardian" because this is the only family member she contacts, however, she maintains full time residency at the campus and does not even visit the aunt. It is the interviewer's feeling that if R had to identify a parent versus

---

Provided by:

Date:

Resolution:

Case specific ( )
General Rule ( )

( ) Rockville Follow up
( ) Supervisor Follow up

Consulted at OE: D. Iwamoto Date: 1/31/79

cc: ( ) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)

Date: 2/8/79

From: J. Hicks

No: 012

Page 2 of 2

Requested by:

Date:

Re:

Description of Problem: (Continued) the aunt as guardian, it would be the aunt. This situation raises the question of whether the parent interview must be conducted with natural parents or if someone else assuming the unofficial role of guardian (although the parents still live) should respond. Please advise.

Provided by: J. Hicks

Date: 2/5/79

Resolution: This we cannot resolve until we determine how it will effect the analysis.

Case specific ( )
General Rule ( )

( ) Rockville Follow up

( ) Supervisor Follow up

Consulted at OE:

Date:

cc: (✓) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (✓)

Date: 2/8/79

From: J. Hicks

No: 013

Page 1 of 1

Requested by: B. Kueppers

Date:

Re:

Description of Problem: Dependent student says that one parent is very ill and the other is upset about the spouse's illness. Student has requested that we do not contact parent. Please advise.

Provided by:

Date: 2/5/79

Resolution: Wait approximately one month and recontact the household to determine if situation has changed so that an interview can be conducted.

Case specific (✓)
General Rule ( )

(✓) Case Specific

( ) Rockville Follow up (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto Date: 1/31/79

cc:
- ( ) All
- (✓) D. Iwamoto
- ( ) D. Rogers
- (✓) J. Hicks
- (✓) J. Ter Maat
- ( ) A. Cross
- ( ) D. Walsh
- (✓) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (x)

Date: 2/8/79

From: J. Hicks

No: 014

Page 1 of 1

Requested by: J. Salk

Date:

Re:

Description of Problem: Student dropped out of school after one day. May or may not have received money but did quality for a grant. Respondent required to participate. Should this person be treated as any other refusal?

Provided by:

Date: 2/5/79

Resolution:

Case specific (✓)
General Rule ( )

Regardless of how long they were a recipient, they are required to participate. Proceed with a soft approach if they fall into the nonresponse mode.

( ) Rockville Follow up (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto

Date: 1/31/79

cc:
- ( ) All
- ( ) D. Iwamoto
- ( ) D. Rogers
- ( ) J. Hicks
- ( ) J. Ter Maat
- ( ) A. Cross
- ( ) D. Walsh
- ( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (x)

Date: 2/8/79

From: J. Hicks

No: 015

Page 1 of 1

Requested by: B. Kueppers

Date: 1/28/79

Re:

Description of Problem: Independent student's parents are deceased, however, we have obtained the name of R's foster parents. Are these to be considered as the parent respondent if they have no knowledge of the BEOG application process, and they do not presently nor have they in the past provided support for the student?

Provided by: J. Hicks

Date: 2/5/79

Resolution: Pending. This impacts the analysis plan, therefore we cannot resolve at this time.

Case specific ( )
General Rule ( )

( ) Rockville Follow up ( ) Supervisor Follow up

Consulted at OE: D. Iwamoto Date: 1/31/79

cc: (✓) All
(✓) D. Iwamoto
( ) D. Rogers
(✓) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education (x)

Date: 2/8/79

From: J. Hicks

No: 016

Page 1 of 1

Requested by: Dubanoski

Date:

Re:

Description of Problem: Independent student has completed interview but refuses to provide name and address of independent parents. Should we attempt to contact the institution to obtain the address without informing the student. If the institution cannot provide an address, how should we handle the case?

Provided by:

Date: 2/5/79

Resolution: Attempt to obtain the address from the institution.Lets discuss the case again if you are unsuccessful in obtaining an address.

Case specific ( )
General Rule (✓)

(✓) Rockville Follow up ( ) Supervisor Follow up

Consulted at OE: D. Iwamoto Date: 1/31/79

cc:
- ( ) All
- (✓) D. Iwamoto
- ( ) D. Rogers
- (✓) J. Hicks
- (✓) J. Ter Maat
- ( ) A. Cross
- ( ) D. Walsh
- (✓) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date: 2/12/79

From: J. Hicks

No: 017

Page 1 of 4

Requested by: J. Salk

Date: 2/2/79

Re:

Description of Problem: Father of dependent student began to complete application form but instead had the Mother complete it. Since that time the parents have separated, however, Father's name appears on the label. The interviewer first attempted to reach the father but was informed during the student interview that the Mother was more knowledgeable. When interviewer contacted the Mother by telephone she became quite hostile and insisted that the interview be conducted over the telephone. The interviewer complied. This raised two questions: (1) do we con-

---

Provided by:

Date:

Resolution:

Case specific ( )
General Rule ( )

( ) Rockville Follow up

( ) Supervisor Follow up

Consulted at OE:

Date:

cc: ( ) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

509

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date: 2/12/79

From: J. Hicks

No: 017

Page 3 of 4

Requested by:

Date:

Re:

Description of Problem:

Provided by: J. Hicks

Date: 2/12/79 (Continued)

Resolution:

Case specific ( )
General Rule ( )

In regards to these households that have changed since the application was completed, and by changed we mean the parents have either separated or divorced, a supplemental application should have been filed by the student or parent. This supplement would identify the parent who now provides the majority of support.

If you find out that a student's parents are divorced attempt to ascertain which parent provides the majority of support. If the name given is different than the one that appears on the label, ask if a supplement was filed. If an application supplement was filed, attempt to conduct the interview with the parent who now is identified as providing the majority of support. If no supplement was filed, conduct the interview with the parent whose

( ) Rockville Follow up
( ) Supervisor Follow up

Consulted at OE:

Date:

cc:
( ) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date: 2/12/79

From: J. Hicks

No: 017

Page 2 of 4

Requested by: J. Salk

Date:

Re:

Description of Problem: (Continued) duct the interview with the parent whose name appears on the label (the name supplied by the institution) or with the parent/guardian who has been identified as "most knowledgeable: if they are not the same person? (2) In a separated or divorced household which parent do we interview?

Provided by: J. Hicks

Date: 2/12/79

Case specific ( )
General Rule ( )

Resolution: In providing a resolution, I think both questions can be answered as a general rule. We are assuming that the parent's/guardian's name that appears on the lable is the parent/guardian whose financial and other information has been entered in the application. Therefore, we would like to have the interview conducted with this person. Keep in mind that the essential question is not who completed or assisted in the completion of the application but instead which parent's information has been entered in the application. Obviously, this should not present too great of a problem in these households where the parent's martial status has not changed since the time the application was completed. (Continued)

( ) Rockville Follow up ( ) Supervisor Follow up

Consulted at OE:

Date:

cc: ( ) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )
Date: 2/12/79

From: J. Hicks
No: 017

Page 4 of 4

Requested by:

Date:
Re:

Description of Problem:

Provided by: J. Hicks

Date: 2/12/79

Resolution: (Continued) name appears on the label. Remember that the key point is that we want to verify information entered on the original application.

Case specific ( )
General Rule ( )

( ) Rockville Follow up
(x) Supervisor Follow up

Consulted at OE: D. Iwamoto
Date: 2/3/79
2/12/79

cc: (x) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

JH

BEOG FIELD PROCEDURE POLICY

To: Office of Education

Date: February 15, 1979

From: J. Hicks

No: 018

Page __________of__________

Requested by: B. Kueppers

Date: February 2, 1979

Re: 098-01-1-2

Description of Problem:

Student applied for grant in 1978, is currently enrolled in school but never received money. FAO at school is in the process of trying to obtain money for student. Student refused the interview. Is this person required to participate?

Provided by: J. Hicks

Date: February 12, 1979

Resolution:

Case specific ( )
General Rule (✓)

Make contact with institution to confirm the fact that the student has not received the money and the reason why.

(✓) Rockville Follow up ( ) Supervisor Follow up

Consulted at OE: D. Iwamoto Date: February 12, 1979

cc: (✓) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education

Date: February 15, 1979

From: J. Hicks

No: 019

Page __________ **of** __________

Requested by: F. Eldrege

Date: February 1, 1979

Re:

Description of Problem:

Independent parent completed interview but refused to submit 4506 request. Because this is an independent parent I assume the case is complete. However, if a dependent parent or independent student refuses to submit a 4506 request and doesn't have any tax copies of previously submitted tax forms, how do you want this handled?

Provided by: J. Hicks

Date: February 15, 1979

Resolution:

Case specific (✓)
General Rule ( )

Conduct the interview and indicate no documents were available. Write on the call record folder that the R refused to submit a 4506.

( ) Rockville Follow up (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto **Date:** February 12, 1979

cc:
(✓) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date:

From:

No: 020

Page __________ of __________

Requested by: Z. Dykstra

Date: 2/1/79

Re: 042-01-2-4

Description of Problem:

Dependent student has refused to participate because he called the BEOG toll free number and was informed that he was not required to participate in the study. Please advise.

Provided by:

Date:

Resolution:

Case specific ( )
General Rule ( )

( ) Rockville Follow up
( ) Supervisor Follow up

Consulted at OE:

Date:

cc: ( ) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education

Date: February 15, 1979

From: J. Hicks

No: 021

Page __________ **of** __________

Requested by: B. Kueppers

Date: February 2, 1979

Re: 092-09-22

Description of Problem:

Dependent student applied for grant but did not receive money. We did not ascertain the reason why he did not receive. For this type of situation is the respondent required to participate?

Provided by: J. Hicks

Date: February 12, 1979

Resolution:

Case specific ( )
General Rule (✓)

Treat the same as resolution provided for BFPP #018 and contact the institution to confirm the fact that the student has not received money.

(✓) Rockville Follow up
( ) Supervisor Follow up

Consulted at OE: D. Iwamoto

Date: February 12, 1979

cc: (✓) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date: 2/12/79

From: J. Hicks

No: 022

Page 1 of 1

Requested by: J. Salk

Date:

Re: 180545

Description of Problem: Dependent parent is the respondent we are to interview. Interviewer was informed when he made contact, that older brother who is more knowledgeable about grant forms, actually completed the application. However, the information provided was on the parent. Brother has requested to be present at time of interview. Please advise.

Provided by: J. Hicks

Date: 2/7/79

Resolution: Conduct the interview with parent but allow the older brother to be present. (Resolution was provided by J. Hicks since there was insufficient time to forward the case of OE).

Case specific (x)
General Rule ( )

( ) Rockville Follow up (x) Supervisor Follow up

Consulted at OE:

Date:

cc: ( ) All
(x) D. Iwamoto
( ) D. Rogers
(x) J. Hicks
(x) J. Ter Maat
( ) A. Cross
( ) D. Walsh
(x) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education

Date: February 15, 1979

From: J. Hicks

No: 023

Page __________ of __________

Requested by: E. Dykstra

Date: February 2, 1979

Re:

Description of Problem:

Student completed interview. When verifying parent information, student said both parents are deaf. We did not ascertain whether student could conduct interview using sign language. If so, I assume we are to attempt to conduct the interview as per the resolution to the language problem noted in BFPP #005. In any event, do you want us to request completion of a 4506 form if the respondent filed in 1977?

Provided by: J. Hicks

Date: February 15, 1979

Resolution:

Case specific (✓)
General Rule ( )

Attempt to conduct interview using student as translator and obtain all needed documents.

( ) Rockville Follow up (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto

Date: February 12, 1979

cc: (✓) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education

Date: February 15, 1979

From: J. Hicks

No: 024

Page __________ of __________

Requested by: E. Dykstra

Date: February 1, 1979

Re:

Description of Problem:

Contacted independent parent who informed interviewer that student was quite ill and scheduled for surgery. Prior to surgery student had moved back with parents. Parents are upset and say they don't know anything about BEOG. I assume that the decision rule that was provided for BFPP #013, which suggested waiting up to one month before making recontact applies here. Should we also wait until that time to attempt to conduct the parent interview? If at that time the parents again refuse for the student, should the student be treated as any other refusal case? Please advise.

Provided by: J. Hicks

Date: February 15, 1979

Resolution:

Case specific (✓)
General Rule ( )

Allow for maximum period of time to elapse before making recontact and then attempt to conduct parent and student interview. If after the parent interview the interviewer can ascertain that the student is actually ill, do not place the case in the nonresponse followup group.

( ) Rockville Follow up   (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto   Date: February 12, 1979

cc: (✓) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date: 2/12/79

From: J. Hicks

No: 025

Page 1 of 1

Requested by: E. Dykstra

Date: 2/6/79

Re: 1652614

Description of Problem: Independent student is not registered at institution for all or spring quarter. She no longer lives at the address provided by the institution. We have been unsuccessful in obtaining new address or telephone number. Should we wait for contact with parents who reside in Region 5.

Provided by: J. Hicks

Date: 2/12/79

Resolution: Tell interviewer to hold on to case materials. We will contact J. Salk and ask her to field the parent part of this set immediately if it is not already in the field. If we obtain from parents new address of student, Rockville office will supply you with address information.

Case specific (x)
General Rule ( )

(x) Rockville Follow up

( ) Supervisor Follow up

Consulted at OE:

Date:

cc: (x) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education

Date: February 15, 1979

From: J. Hicks

No: 026

Page ______ of ______

Requested by: E. Dykstra

Date:

Re:

Description of Problem:

During interview with independent parent the parent answered yes to one of the nine questions (B-1 through B-9) which required the interviewer to continue interview at question B-21. As you know, the series of questions beginning at B-21 are supposed to be asked of dependent parents. When the interviewer began asking B-22, the parent broke off the interview stating that the questions did not apply to them. How should we handle a refusal from an independent parent who we are required to ask the dependent series of questions?

Provided by: J. Hicks

Date: February 12, 1979

Resolution:

Case specific (✓)
General Rule ( )

Include in independent parent nonresponse followup group and await outcome.

( ) Rockville Follow up (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto Date: February 12, 1979

cc: (✓) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education

Date: February 15, 1979

From: J. Hicks

No: 027

Page ________ of ________

Requested by: E. Dykstra

Date:

Re: 1650224
1650244

Description of Problem:

In attempting to contact a parent of a dependent student the interviewer was informed the parent has not been heard from for five years. The student now has a named guardian who is located at the same address as the student. Do we conduct the parent interview with the guardian?

Provided by: J. Hicks

Date: February 15, 1979

Resolution:

Case specific ( )
General Rule (✓)

Since the student has not heard from the parent in five years, we assume that the guardian provided support for the student and the financial information on the application was based on guardian's income. We will conduct the interview with the guardian if this person provided the information. The guardian's name should be the one that has been provided on the label.

( ) Rockville Follow up (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto

Date: February 12, 1979

cc: (✓) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education

Date: February 15, 1979

From: J. Hicks

No: 028

Page __________of__________

Requested by: J. Hicks

Date: February 8, 1979

Re: 1731912
1731932

Description of Problem:

As the attached indicates, we received these letters in response to the advance mailing. We will go ahead and attempt to conduct the interview. Are there any special instructions you want us to provide to the interviewer?

Provided by:

Date: February 12, 1979

Resolution:

Case specific (✓)
General Rule ( )

No, go ahead and make contact and attempt to complete the student and parent interview.

( ) Rockville Follow up (✓) Supervisor Follow up

Consulted at OE: D. Iwamoto Date: February 12, 1979

cc: (✓) All
( ) D. Iwamoto (Attachments)
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

1731832

January 30, 1979

B. E. O. G.
Quality Control Study
Bureau of Student Financial Assistance
Division of Quality Assurance
Care of: Westat, Inc.
11600 Nebel Street
Rockville, Md. 20852

Sirs:

In reference to your letter concerning BEOG, our daughter, Chris Gibson, was granted aid but did not accept aid. That in itself should clarify this matter--but she has asked me to go ahead and tell the rest of the truth.

She was granted aid because of lies on her application, such as her parents not claiming her on 1977 tax forms. Between her applying and receiving she accepted Christ into her life. She was forgiven her past mistakes including lying on the application and started her new life including not taking dishonest money.

You wouldn't believe the happiness your letter caused. She said it topped her day off beautifully to know He was showing her how trusting in Him was saving her and her family from the degradation, embarrassment and financial problems that could have arisen.

If you are a Christian you will know fully her feelings. If not, perhaps her testimony will inspire you. It is hard to write my daughter was dishonest, but it is with pride I write she is now a Christian and wanting to share it even with strangers.

We were not aware she was applying......but if there are any repercussions from her act, her father and I will stand behind her and make any restitutions. But with Christ beside her, I feel the situation has already been dissolved.

Respectfully,

Norma Gibson

Norma Gibson (Mrs. Neil Gibson)
Box 35
Dougherty, Oklahoma 73032
405-369-2581

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date:

From: J. Hicks

No: 029

Page 1 of 1

Requested by: F. Eldrige

Date:

Re:

Description of Problem:

Independent student is incarcerated in tight security prison. Institution will not allow contact with student.

Provided by: J. Hicks

Date:

Resolution:

Case specific (✓)
General Rule ( )

( ) Rockville Follow up

(✓) Supervisor Follow up

Consulted at OE:

Date:

cc:
( ) All
( ) D. Iwamoto
( ) D. Rogers
( ) J. Hicks
( ) J. Ter Maat
( ) A. Cross
( ) D. Walsh
( ) BEOG Supervisors

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date: 3/28

From: J. Hirs

No: 030

Subject: Field Problem-Specific

Page 1 of 1

057-01-1-2

Requested by: In telephone call to BEOG Commphone,

Description of Problem: Respondent claims he has received a warning letter addressed to another student of the same name forwarded to him from another number of the same street. He is not attending the institution but has attended one of a similar name, and is now attending still another institution where he has just filed for ACT.

Individual says he has never received a BEOG grant. Institution says the respondent of this name in our survey did receive a grant in 78 79, and was dropped for non attendance in Dec. '78.

We have the respondent's social security number. Can we use this to verify whether individual who called us is the respondent?

Provided by: (We could for example verify whether he is attending the school. He says he is and has ~~file~~ filed there for assistance.)

Solution:

Attempt to verify by using SS#.

Consulted:

BEOG FIELD PROCEDURE POLICY

To: Office of Education ( )
BEOG Supervisors ( )

Date: 3/25

From:

No: 031

Subject:

Page 1 of 1

Requested by: (Re #129-25-3-6

Description of Problem: Respondent is independent parent. When approached by interviewer for appointment, he refused in a hostile manner. He stated his daughter, the student, had lived away since 1977, and referred interviewer to a social worker. The telephone number he gave is that of a group home. Daughter has been interviewed and predicted outcome.

Do we pursue problem to the social worker, in order to corroborate the information?

Provided by:

Solution:

No, do not attempt any followups.

Consulted: